DOCUMENT RESUME

ED 472 644 EA 032 299

TITLE	Education Criteria for Performance Excellence, 2003.
INSTITUTION	National Inst. of Standards and Technology, Gaithersburg, MD.; American Society for Quality, Milwaukee, WI.
PUB DATE	2003-00-00
NOTE	76p.; For the 2002 version, see ED 461 184.
AVAILABLE FROM	Baldrige National Quality Program, NIST, 100 Bureau Drive Stop 1020, Gaithersburg, MD 20899-1020. Tel: 301-975-2036; Fax: 301-948-3716; Web site: www.quality.nist.gov. For full text: http://www.quality.nist.gov/PDF_files/2003_Education_Criteria.pdf.
PUB TYPE	Guides - Non-Classroom (055) -- Tests/Questionnaires (160)
EDRS PRICE	EDRS Price MF01/PC04 Plus Postage.
DESCRIPTORS	*Educational Improvement; Elementary Secondary Education; *Evaluation Criteria; Formative Evaluation; Organizational Effectiveness; Profiles; *Self Evaluation (Groups)
IDENTIFIERS	*Malcolm Baldrige National Quality Award

ABSTRACT

The criteria described in this document are the basis for organizational self-assessments, for making awards, and for giving feedback to applicants. They are built upon the following values and concepts: visionary leadership; learning-centered education; organizational and personal learning; valuing faculty, staff, and partners; agility; focus on the future; managing for innovation; management by fact; social responsibility; focus on results and creating value; and systems perspective. The criteria focus on organizational performance results, are nonprescriptive and adaptable, support a systems perspective to maintaining organization-wide goal alignment, and support goal-based diagnosis. Changes include enhanced focus on governance and ethics, capitalizing on knowledge assets, and the importance of aligning one's performance management system with results measurements. The Organizational Profile allows the user to profile one's organization. Resulting information can help in aligning resources; improving communication, productivity, and effectiveness; and achieving strategic goals. The self-assessment can be used as an internal improvement effort or as the basis for a Malcolm Baldrige National Quality Award application. This document also contains a glossary of key terms, category and item descriptions of the 2003 Education Criteria, a scoring system, scoring guidelines, and application materials for the Malcolm Baldrige National Quality Award. (RT)

Education Criteria for Performance Excellence, 2003

National Institute of Standards and Technology

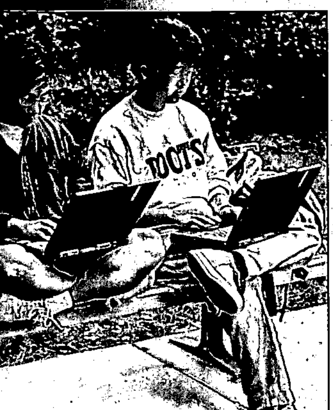
2003

2003

Celebrating 15 Years

Baldrige National Quality Program

Education Criteria for Performance Excellence



ethics

accomplishment

recognition

The Malcolm Baldrige National Quality Award Program

A Public-Private Partnership

Building active partnerships in the private sector—and between the private sector and all levels of government—is fundamental to the success of the Baldrige National Quality Program in improving national competitiveness. Private-sector support for the Program in the form of funds, volunteer efforts, and participation in information transfer continues to grow.

To ensure the continued growth and success of these partnerships, each of the following organizations plays an important role.

Foundation for the Malcolm Baldrige National Quality Award

The Foundation for the Malcolm Baldrige National Quality Award was created to foster the success of the Program. The Foundation's main objective is to raise funds to permanently endow the Award Program.

Prominent leaders from U.S. organizations serve as Foundation Trustees to ensure that the Foundation's objectives are accomplished. A broad cross section of organizations throughout the United States provides financial support to the Foundation.

National Institute of Standards and Technology

The U.S. Department of Commerce is responsible for the Baldrige National Quality Program and the Award. The National Institute of Standards and Technology (NIST), an agency of the Department's Technology Administration, manages the Baldrige Program. NIST promotes U.S. economic growth by working with industry to develop and deliver the high-quality measurement tools, data, and services necessary for the nation's technology infrastructure. NIST also participates in a unique, government/private sector partnership to accelerate the development of high-risk technologies that promise significant commercial and economic benefits. Through a network of technology extension centers and field offices serving all 50 states and Puerto Rico, NIST helps small- and medium-sized businesses access the information and expertise they need to improve their competitiveness in the global marketplace.

American Society for Quality

The American Society for Quality (ASQ) assists in administering the Award Program under contract to NIST. ASQ is dedicated to the ongoing development, advancement, and promotion of quality concepts, principles, and techniques. ASQ strives to be the world's recognized champion and leading authority on all issues related to quality. ASQ recognizes that continuous quality improvement will help the favorable positioning of American goods and services in the international marketplace.

Board of Overseers

The Board of Overseers advises the Department of Commerce on the Baldrige National Quality Program. The board is appointed by the Secretary of Commerce and consists of distinguished leaders from all sectors of the U.S. economy.

The Board of Overseers evaluates all aspects of the Program, including the adequacy of the Criteria and processes for determining Award recipients. An important part of the board's responsibility is to assess how well the Program is serving the national interest. Accordingly, the board makes recommendations to the Secretary of Commerce and to the Director of NIST regarding changes and improvements in the Program.

Board of Examiners

The Board of Examiners evaluates Award applications and prepares feedback reports. The Panel of Judges, part of the Board of Examiners, makes Award recommendations to the Director of NIST. The board consists of leading U.S. business, education, and health care experts. NIST selects members through a competitive application process. For 2003, the board consists of about 400 members. Of these, 9 (who are appointed by the Secretary of Commerce) serve as Judges, and approximately 75 serve as Senior Examiners. The remainder serve as Examiners. All members of the board must take part in an Examiner preparation course.

In addition to reviewing applications, board members play a significant role in sharing information about the Baldrige Program. Their membership in hundreds of professional, trade, community, and state organizations helps them disseminate this information.

Award Recipients

Award recipients are required to share information on their successful performance and quality strategies with other U.S. organizations. However, recipients are not required to share proprietary information, even if such information was part of their Award application. The principal mechanism for sharing information is the annual Quest for Excellence Conference.

Award recipients in the 15 years of the Award have been extremely generous in their commitment to improving U.S. competitiveness and furthering the U.S. pursuit of performance excellence. They have shared information with hundreds of thousands of companies, education institutions, health care organizations, government agencies, and others. This sharing far exceeds expectations and Program requirements. Award recipients' efforts have encouraged many other organizations in all sectors of the U.S. economy to undertake their own performance improvement efforts.

To: U.S. Education Community

From: Harry S. Hertz, Director
Baldrige National Quality Program

Harry S. Hertz

Subject: An Updated Baldrige Challenge

The Baldrige Education Criteria are being used increasingly by U.S. education organizations to improve their performance. For today's education environment, the Criteria have been updated to help organizations respond to current challenges: the need to create value for students, stakeholders, and the organization; openness and transparency in governance and ethics; and the challenges of rapid innovation and capitalizing on your knowledge assets. Whether your organization is small or large, is involved in PreK–12 or higher education, or has one facility or multiple sites, the Criteria provide a valuable framework that can help you plan in an uncertain environment. Use the Criteria to assess performance on a wide range of key indicators: student learning outcomes, student and stakeholder satisfaction results, budgetary and financial results, faculty and staff performance, and operational outcomes. The Criteria can help you align resources; improve communication, productivity, and effectiveness; and achieve strategic goals.

How to begin that first Baldrige assessment? Take a few minutes and scan the questions in the Organizational Profile on pages 14–16. A discussion of the answers to these questions might be your first Baldrige assessment. For additional guidance, refer to our free booklet *Getting Started with the Baldrige National Quality Program Criteria for Performance Excellence: A Guide to Self-Assessment and Action.*

If you are ready to take the full Baldrige challenge, you can perform a self-assessment as an internal improvement effort, or you can use your self-assessment as the basis for an Award application. Assessment against all seven Categories of the Criteria (see pages 17–34) allows you to identify strengths and to target opportunities for improving your processes and results.

Do you need to know what your faculty and staff think? Do you believe you have been making progress but want to accelerate or better focus your efforts? Try using our simple questionnaire, *Are We Making Progress?* This questionnaire, available in English and Spanish, addresses topics important to your faculty and staff and is organized according to the seven Baldrige Criteria Categories. It helps you check your progress toward meeting your organizational goals and will improve communication among your faculty, staff, and leadership team.

Even if you don't expect to win the Baldrige Award, submitting an Award application has valuable benefits. Every applicant receives a detailed feedback report based on an independent, external assessment conducted by a panel of specially trained and recognized experts.

The Criteria are in your hands . . . so is an incredible opportunity. Why not take the challenge? Regardless of your organization's past success, when you turn these pages, you turn the corner toward performance excellence. If you want more information, contact me at nqp@nist.gov.

Need some useful tools to meet the Baldrige challenge? Try using

- *Getting Started with the Baldrige National Quality Program*
- E-Baldrige Organizational Profile found on our Web site at www.quality.nist.gov/eBaldrige/Step_One.htm
- *Are We Making Progress?*

Contact the Baldrige National Quality Program or visit our Web site for these and other educational materials.

Quest for Excellence XV Conference

Each year, Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and not-for-profit organizations. Quest for Excellence XV will showcase the year 2002 Award recipients.

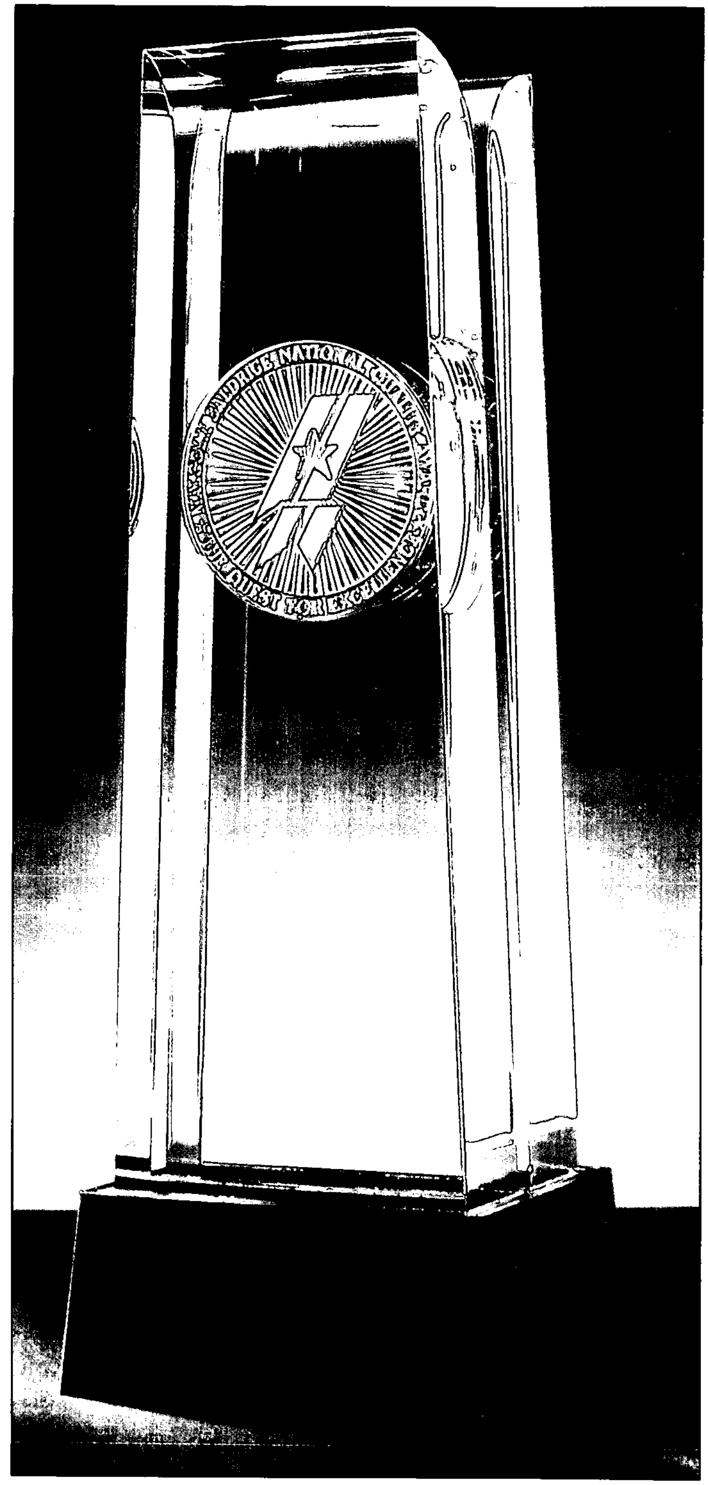
For the last 14 years, executives, managers, and quality leaders have come to this conference to learn how these role model organizations have achieved performance excellence. CEOs and other leaders from the Award recipient organizations give presentations covering all seven Categories of the Baldrige Criteria, their journey to performance excellence, and their lessons learned. At this three-day conference designed to maximize learning and networking opportunities, attendees will be able to interact with Award recipients.

The Quest for Excellence XV Conference will be held March 30–April 2, 2003, at the Marriott Wardman Park Hotel in Washington, DC. For further information, contact the Baldrige Program by mail: Baldrige National Quality Program, NIST, Administration Building, Room A600, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020; telephone: (301) 975-2036; fax: (301) 948-3716; or E-mail: nqp@nist.gov. For a general overview of the Baldrige National Quality Program, visit its Web site: www.quality.nist.gov.

The Malcolm Baldrige National Quality Award

The Award crystal, composed of two solid crystal prismatic forms, stands 14 inches tall. The crystal is held in a base of black anodized aluminum with the Award recipient's name engraved on the base. A 22-karat gold-plated medallion is captured in the front section of the crystal. The medal bears the inscriptions "Malcolm Baldrige National Quality Award" and "The Quest for Excellence" on one side and the Presidential Seal on the other.

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC.



Crystal by Steuben

CONTENTS

Business and health care organizations should use the appropriate Criteria booklets for their respective sectors. See pages 67–68 for ordering information.

If you plan to apply for the Award in 2003, you also will need the booklet *Baldrige Award Application Forms*. Ordering instructions are given on page 67.

The first step in the Award application process is to provide the Eligibility Certification Package, which is due April 15, 2003. If you would like to recommend a senior member of your organization for the Board of Examiners, the package is due March 14, 2003.

Award applications are due May 29, 2003.

We are easy to reach. Our Web address is www.quality.nist.gov.

Criteria Purposes

The Criteria are the basis for organizational self-assessments, for making Awards, and for giving feedback to applicants. In addition, the Criteria have three important roles:

- to help improve organizational performance practices, capabilities, and results
- to facilitate communication and sharing of best practices information among U.S. organizations of all types
- to serve as a working tool for understanding and managing performance and for guiding organizational planning and opportunities for learning

Education Criteria for Performance Excellence Goals

The Criteria are designed to help organizations use an integrated approach to organizational performance management that results in

- delivery of ever-improving value to students and stakeholders, contributing to education quality
- improvement of overall organizational effectiveness and capabilities
- organizational and personal learning

Core Values and Concepts

The Criteria are built upon the following set of interrelated Core Values and Concepts:

- visionary leadership
- learning-centered education
- organizational and personal learning
- valuing faculty, staff, and partners
- agility
- focus on the future
- managing for innovation
- management by fact
- social responsibility
- focus on results and creating value
- systems perspective

These values and concepts, described below, are embedded beliefs and behaviors found in high-performing organizations. They are the foundation for integrating key requirements within a results-oriented framework that creates a basis for action and feedback.

Visionary Leadership

An organization's senior leaders should set directions and create a student-focused, learning-oriented climate, clear and visible values, and high expectations. The directions, values, and expectations should balance the needs of all your stakeholders. Your leaders should ensure the creation of strategies, systems, and methods for achieving excellence, stimulating innovation, and building knowledge and capabilities. The values and strategies should help guide all activities and decisions of your organization. Senior leaders should inspire and motivate your entire workforce and should encourage all faculty and staff to contribute, to develop and learn, to be innovative, and to be creative. Senior leaders should be responsible to your organization's governance body for their actions and performance. The governance body should be responsible ultimately to all your stakeholders for the ethics, vision, actions, and performance of your organization and its senior leaders.

Senior leaders should serve as role models through their ethical behavior and their personal involvement in planning, communications, coaching, development of future leaders, review of organizational performance, and faculty and staff recognition. As role models, they can reinforce ethics, values, and expectations while building leadership, commitment, and initiative throughout your organization.

In addition to their important role within the organization, senior leaders have other avenues to strengthen education. Reinforcing the learning environment in the organization might require building community support and aligning community and business leaders and community services with this aim.

Learning-Centered Education

In order to develop the fullest potential of all students, education organizations need to afford them opportunities to pursue a variety of avenues to success. Learning-centered education supports this goal by placing the focus of education on learning and the real needs of students. Such needs derive from market and citizenship requirements.

A learning-centered organization needs to fully understand these requirements and translate them into appropriate curricula and developmental experiences. For example, changes in technology and in the national and world economies are creating increasing demands on employees to become knowledge workers and problem solvers, keeping pace with the rapid market changes. Most analysts conclude that to prepare students for this work environment, education organizations of all types need to focus more on students' active learning and on the development of problem-solving skills. Educational offerings also need to be built around effective learning, and effective teaching needs to stress promotion of learning and achievement.

Learning-centered education is a strategic concept that demands constant sensitivity to changing and emerging student, stakeholder, and market requirements and to the factors that drive student learning, satisfaction, and persistence. It demands anticipation of changes in the education market. Therefore, learning-centered education demands awareness of development in technology and competitors' programs and offerings, as well as rapid and flexible responses to student, stakeholder, and market changes.

Key characteristics of learning-centered education include the following:

- High developmental expectations and standards are set for all students.
- Faculty understand that students may learn in different ways and at different rates. Student learning rates and styles may differ over time and may vary depending on subject matter. Learning may be influenced by support, guidance, and climate factors, including factors that contribute to or impede learning. Thus, the learning-centered organization needs to maintain a constant search for alternative ways to enhance learning. Also, the organization needs to develop actionable information on individual students that bears upon their learning.
- A primary emphasis on active learning is provided. This may require the use of a wide range of techniques, materials, and experiences to engage student interest. Techniques, materials, and experiences may be drawn from external sources such as businesses, community services, or social service organizations.
- Formative assessment is used to measure learning early in the learning process and to tailor learning experiences to individual needs and learning styles.
- Summative assessment is used to measure progress against key, relevant external standards and norms regarding what students should know and should be able to do.
- Students and families are assisted in using self-assessment to chart progress and to clarify goals and gaps.
- There is a focus on key transitions such as school-to-school and school-to-work.

Organizational and Personal Learning

Achieving the highest levels of organizational performance requires a well-executed approach to organizational and personal learning. Organizational learning includes both continuous improvement of existing approaches and adaptation to change, leading to new goals and/or approaches. Learning needs to be embedded in the way your organization operates. This means that learning (1) is a regular part of daily work; (2) is practiced at personal, work unit, department, and organizational levels; (3) results in solving problems at their source ("root cause"); (4) is focused on sharing knowledge throughout your organization; and (5) is driven by opportunities to effect significant change and to do better. Sources for learning include ideas from faculty and staff, education and learning research findings, students' and stakeholders' input, best practice sharing, and benchmarking.

Improvement in education requires a strong emphasis on effective design of educational programs, curricula, and learning environments. The overall design should include clear learning objectives, taking into account the individual needs of students. Design must also include effective means for gauging student progress. A central requirement of effective design is the inclusion of an assessment strategy. This strategy needs to emphasize the acquisition of formative information—information that provides an early indication of whether or not learning is taking place—to minimize problems that might arise if learning barriers are not promptly identified and addressed.

Faculty and staff success depends increasingly on having opportunities for personal learning and practicing new skills. Organizations invest in personal learning through education, training, and other opportunities for continuing growth. Such opportunities might include job rotation and increased pay for demonstrated knowledge and skills. Education and training programs may benefit from technologies, such as computer- and Internet-based learning and satellite broadcasts.

Personal learning can result in (1) more satisfied and versatile faculty and staff who stay with the organization,

(2) organizational cross-functional learning, and (3) an improved environment for innovation.

Thus, learning is directed not only toward better educational programs and services but also toward being more responsive, adaptive, and flexible to the needs of students, stakeholders, and the market.

Valuing Faculty, Staff, and Partners

An organization's success depends increasingly on the knowledge, skills, creativity, and motivation of its faculty, staff, and partners.

Valuing faculty and staff means committing to their satisfaction, development, and well-being. Increasingly, this involves more flexible, high-performance work practices tailored to faculty and staff with diverse workplace and home life needs. For faculty, development means building not only discipline knowledge but also knowledge of student learning styles and of assessment methods. Faculty participation might include contributing to the organization's policies and working in teams to develop and execute programs and curricula. Increasingly, participation is becoming more student focused and more multidisciplinary. Organization leaders should work to eliminate disincentives for groups and individuals to sustain these important, learning-focused professional development activities.

For staff, development might include classroom and on-the-job training, job rotation, and pay for demonstrated skills. Increasingly, training, education, development, and organizational structure need to be tailored to a more diverse workforce and to more flexible, high-performance work practices.

Major challenges in the area of valuing faculty and staff include (1) demonstrating your leaders' commitment to the success of your faculty and staff, (2) providing recognition that goes beyond the regular compensation system, (3) ensuring development and progression within your organization, (4) sharing your organization's knowledge so your faculty and staff can better serve your students and stakeholders and contribute to achieving your strategic objectives, and (5) creating an environment that encourages creativity.

Education organizations need to build internal and external partnerships to better accomplish overall goals. Internal partnerships might include cooperation among leadership, faculty, and staff, such as agreements with unions. Partnerships with faculty and staff might entail faculty and staff development, cross-training, or new organizational structures such as high-performance work teams. Internal partnerships also might involve creating network relationships among your work units to improve flexibility, responsiveness, and knowledge sharing.

External partnerships might be with other schools, suppliers, businesses, business associations, and community and social service organizations—all stakeholders and potential contributors. Strategic partnerships or alliances are increasingly important kinds of external partnerships. Such partnerships might offer entry into new markets or a basis for new programs or services. Also, partnerships might permit the blending of your organization's core competencies or leadership capabilities with the complementary strengths and capabilities of partners.

Successful internal and external partnerships develop longer-term objectives, thereby creating a basis for mutual investments and respect. Partners should address the key requirements for success, means for regular communication, approaches to evaluating progress, and means for adapting to changing conditions.

Agility

Agility is an increasingly important measure of your organizational effectiveness. It requires a capacity for faster and more flexible response to the needs of your students and stakeholders. Many organizations are learning that an explicit focus on and measurement of response times help drive the simplification of the organizational structure and work processes.

All aspects of time performance are becoming increasingly important and should be among your key process measures. Other important benefits can be derived from this focus on time; time improvements often drive simultaneous improvements in organization, quality, and cost.

Focus on the Future

In today's education environment, a focus on the future requires understanding the short- and longer-term factors that affect your organization and the education market. Pursuit of educational excellence requires a strong future orientation and a willingness to make long-term commitments to key stakeholders—your community, employers, faculty, and staff. Your organization's planning should anticipate many factors, such as changes in educational requirements, instructional approaches, resource availability, student/stakeholder expectations, new partnering opportunities, technological developments, the evolving Internet environment, new student and market segments, demographics, community/societal expectations, and strategic changes by comparable organizations. Strategic objectives and resource allocations need to accommodate these influences. A major longer-term investment associated with your organization's improvement is the investment in creating and sustaining a mission-oriented assessment system focused on learning. This entails faculty education and training in assessment methods. In addition, the organization's leaders should be familiar with research findings and practical applications of assessment methods and learning style information. A focus on the future includes developing faculty and staff, creating opportunities for innovation, and anticipating public responsibilities.

Managing for Innovation

Innovation means making meaningful change to improve an organization's programs, services, and processes and to create new value for the organization's stakeholders. Innovation should lead your organization to new dimensions of performance. Innovation is no longer strictly the purview of research; innovation is important for providing ever-improving educational value to students and for improving all educational and operational processes. Organizations should be led and managed so that innovation becomes part of the culture and is integrated into daily work.

Management by Fact

Organizations depend on the measurement and analysis of performance. Such measurements should derive from the organization's needs and strategy, and they should provide critical data and information about key processes and results. Many types of data and information are needed for performance management. Performance measurement should focus on student learning, which requires a comprehensive and integrated fact-based system—one that includes input data, environmental data, performance data, comparative/competitive data, data on faculty and staff, cost data, and operational performance measurement. Measurement areas might include students' backgrounds, learning styles, aspirations, academic strengths and weaknesses, educational progress, classroom and program learning, satisfaction with instruction and services, extracurricular activities, dropout/matriculation rates, and postgraduation success.

Analysis refers to extracting larger meaning from data and information to support evaluation, decision making, and operational improvement. Analysis entails using data to determine trends, projections, and cause and effect that might not otherwise be evident. Analysis supports a variety of purposes, such as planning, reviewing your overall performance, improving operations, change management, and comparing your performance with comparable organizations or with "best practices" benchmarks.

A major consideration in performance improvement and change management involves the selection and use of performance measures or indicators. *The measures or indicators you select should best represent the factors that lead to improved student, operational, and financial performance. A comprehensive set of measures or indicators tied to student, stakeholder, and/or organizational performance requirements represents a clear basis for aligning all processes with your organization's goals.* Through the analysis of data from your tracking processes, your measures or indicators themselves may be evaluated and changed to better support your goals.

Social Responsibility

An organization's leaders should stress responsibilities to the public, ethical behavior, and the need to practice good citizenship. Leaders should be role models for your organization in focusing on ethics and the protection of public health, safety, and the environment. Protection of health, safety, and the environment includes your organization's operations. Planning should anticipate adverse impacts that might arise in facilities management, laboratory operations, and transportation. Effective planning should prevent problems, provide for a forthright response if problems occur, and make available information and support needed to maintain public awareness, safety, and confidence.

Organizations should not only meet all local, state, and federal laws and regulatory requirements, but they should treat these and related requirements as opportunities for improvement "beyond mere compliance." Organizations should stress ethical behavior in all stakeholder transactions and interactions. Highly ethical conduct should be a requirement of and should be monitored by the organization's governance body.

Practicing good citizenship refers to leadership and support—within the limits of an organization's resources—of publicly important purposes. Such purposes might include improving education in your community, environmental excellence, resource conservation, community service, and sharing quality-related information. Leadership also entails influencing other organizations, private and public, to partner for these purposes.

Managing social responsibility requires the use of appropriate measures and leadership responsibility for those measures.

Focus on Results and Creating Value

An organization's performance measurements need to focus on key results. Results should be used to create and balance value for your students and for your key stakeholders—the community, employers, faculty and staff, suppliers and partners, and the public. By creating value for students and stakeholders, your organization contributes to improving overall education performance and builds loyalty. To meet the sometimes conflicting and changing aims that balancing value implies, organizational strategy should explicitly include key stakeholder requirements. This will help ensure that actions and plans meet differing stakeholder needs and avoid adverse impacts on any stakeholders. The use of a balanced composite of leading and lagging performance measures offers an effective means to communicate short- and longer-term priorities, monitor actual performance, and provide a clear basis for improving results.

Systems Perspective

The Baldrige Criteria provide a systems perspective for managing your organization to achieve performance excellence. The Core Values and the seven Baldrige Categories form the building blocks and the integrating mechanism for the system. However, successful management of overall performance requires organization-specific synthesis, alignment, and integration. Synthesis means looking at your organization as a whole and builds upon key educational requirements, including your strategic objectives and action plans. Alignment means using the key linkages among requirements given in the Baldrige Categories to ensure consistency of plans, processes, measures, and actions. Integration means the individual components of your performance management system operate in a fully interconnected manner.

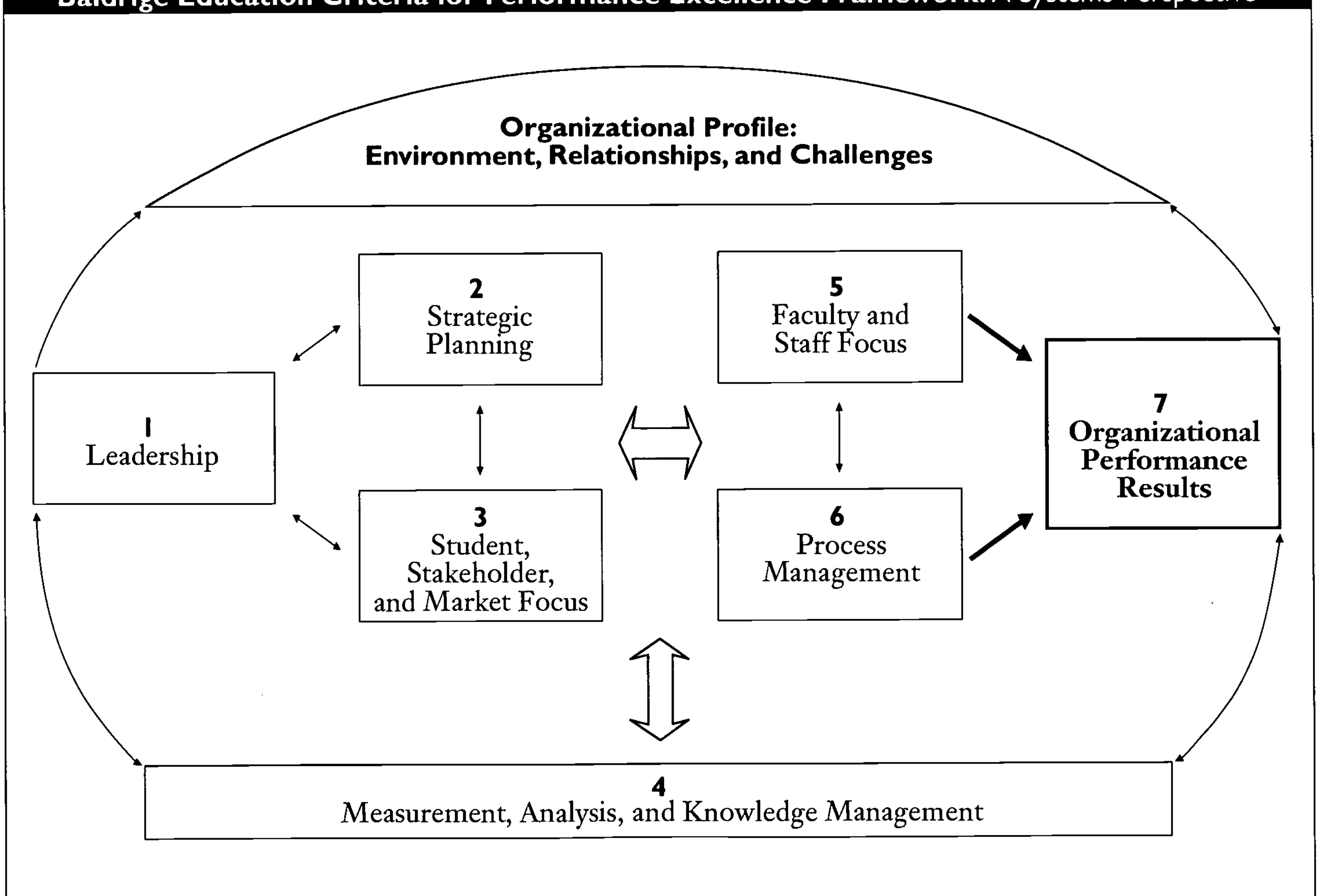
These concepts are depicted in the Baldrige framework below. A systems perspective includes your senior leaders' focus on strategic directions and on your students and stakeholders. It means that your senior leaders monitor, respond to, and manage performance based on your key results. A systems perspective also includes using your measures and indicators to link your key strategies with your key processes and align your resources to improve overall performance and satisfy students and stakeholders.

Thus, a systems perspective means managing your whole organization, as well as its components, to achieve success.

Linkage of the Education Criteria to the Baldrige Business Sector Criteria

The 2003 Education Criteria incorporate the Core Values and Concepts described above and are built upon the seven-part framework used in the Business Criteria. The rationale for the use of the same framework is that it is adaptable to the requirements of all organizations, including education organizations. However, this adaptation does not assume that these requirements are necessarily addressed in the same way. This adaptation to education, then, is largely a translation of the language and basic concepts of business excellence to similarly important concepts in education excellence. A major practical benefit derived from using a common framework for all sectors of the economy is that it fosters cross-sector cooperation and sharing of best practices information.

Baldrige Education Criteria for Performance Excellence Framework: A Systems Perspective



Education Criteria for Performance Excellence Framework

The Core Values and Concepts are embodied in seven Categories, as follows:

1. **Leadership**
2. **Strategic Planning**
3. **Student, Stakeholder, and Market Focus**
4. **Measurement, Analysis, and Knowledge Management**
5. **Faculty and Staff Focus**
6. **Process Management**
7. **Organizational Performance Results**

The figure on page 5 provides the framework connecting and integrating the Categories.

From top to bottom, the framework has the following basic elements.

Organizational Profile

Your Organizational Profile (top of figure) sets the context for the way your organization operates. Your environment, key working relationships, and strategic challenges serve as an overarching guide for your organizational performance management system.

System Operations

The system operations are composed of the six Baldrige Categories in the center of the figure that define your operations and the results you can achieve.

Leadership (Category 1), Strategic Planning (Category 2), and Student, Stakeholder, and Market Focus (Category 3) represent the leadership triad. These Categories are placed together to emphasize the importance of a leadership focus on strategy and on students and stakeholders. Senior leaders set your organizational direction and seek future opportunities for your organization.

Faculty and Staff Focus (Category 5), Process Management (Category 6), and Organizational Performance Results (Category 7) represent the results triad. Your organization's faculty and staff and its key processes accomplish the work of the organization that yields your performance results.

All actions point toward Organizational Performance Results—a composite of student, stakeholder, budgetary, financial, and operational performance, including results related to faculty and staff and to social responsibility.

The horizontal arrow in the center of the framework links the leadership triad to the results triad, a linkage critical to organizational success. Furthermore, the arrow indicates the central relationship between Leadership (Category 1) and Organizational Performance Results (Category 7). The two-headed arrow indicates the importance of feedback in an effective performance management system.

System Foundation

Measurement, Analysis, and Knowledge Management (Category 4) are critical to the effective management of your organization and to a fact-based system for improving performance. Measurement, analysis, and knowledge serve as a foundation for the performance management system.

Criteria Structure

The seven Criteria Categories shown in the figure are subdivided into Items and Areas to Address.

Items

There are 19 Items, each focusing on a major requirement. Item titles and point values are given on page 13. The Item format is shown on page 61.

Areas to Address

Items consist of one or more Areas to Address (Areas). Organizations should address their responses to the specific requirements of these Areas.

Key Characteristics of the Education Criteria

1. The Education Criteria focus on organizational performance results.

The Education Criteria focus on the key areas of organizational performance given below.

Organizational performance areas:

(1) student learning results

(2) student- and stakeholder-focused results

(3) budgetary, financial, and market results

(4) faculty and staff results

(5) organizational effectiveness results, including key internal operational performance measures

(6) governance and social responsibility results

The use of this composite of indicators is intended to ensure that strategies are balanced—that they do not inappropriately trade off among important stakeholders, objectives, or short- and longer-term goals.

2. The Criteria are nonprescriptive and adaptable.

The Criteria are made up of results-oriented requirements. However, the Criteria *do not* prescribe

- that your organization should or should not have departments for quality, planning, or other functions;
- how your organization should be structured; or
- that different units in your organization should be managed in the same way.

These factors differ among organizations, and they are likely to change as needs and strategies evolve.

The Criteria are nonprescriptive for the following reasons:

(1) The focus is on results, not on procedures, tools, or organizational structure. Organizations are encouraged to develop and demonstrate creative, adaptive, and flexible approaches for meeting basic requirements. Nonprescriptive requirements are intended to foster incremental and major ("breakthrough") improvements, as well as basic change.

(2) The selection of tools, techniques, systems, and organizational structure usually depends on factors such as organization type and size, organizational relationships, your organization's stage of development, and faculty and staff capabilities and responsibilities.

(3) A focus on common requirements, rather than on common procedures, fosters better understanding, communication, sharing, and alignment, while supporting innovation and diversity in approaches.

3. The Criteria support a systems perspective to maintaining organization-wide goal alignment.

The systems perspective to goal alignment is embedded in the integrated structure of the Core Values and Concepts, the Organizational Profile, the Criteria, and the results-oriented, cause-effect linkages among the Criteria Items.

Alignment in the Criteria is built around connecting and reinforcing measures derived from your organization's processes and strategy. These measures tie directly to student and stakeholder value and to overall performance. The use of measures thus channels different activities in consistent directions with less need for detailed procedures, centralized decision making, or process management. Measures thereby serve both as a communications tool and a basis for deploying consistent overall performance requirements. Such alignment ensures consistency of purpose while also supporting agility, innovation, and decentralized decision making.

A systems perspective to goal alignment, particularly when strategy and goals change over time, requires dynamic linkages among Criteria Items. In the Criteria, action-oriented cycles of learning take place via feedback between processes and results.

The learning cycles have four, clearly defined stages:

(1) planning, including design of processes, selection of measures, and deployment of requirements

(2) execution of plans

(3) assessment of progress and capturing new knowledge, taking into account internal and external results

(4) revision of plans based upon assessment findings, learning, new inputs, and new requirements

4. The Criteria support goal-based diagnosis.

The Criteria and the Scoring Guidelines make up a two-part diagnostic (assessment) system. The Criteria are a set of 19 performance-oriented requirements. The Scoring Guidelines spell out the assessment dimensions—Approach, Deployment, and Results—and the key factors used to assess each dimension. An assessment thus provides a profile of strengths and opportunities for improvement relative to the 19 basic requirements. In this way, assessment leads to actions that contribute to performance improvement in all areas, as described in the shaded box above. This diagnostic assessment is a useful management tool that goes beyond most performance reviews and is applicable to a wide range of strategies and management systems.

Integration of Key Education Themes

For the adaptation of the Business Criteria for Performance Excellence to education, several important education concepts have been given careful consideration and are addressed throughout the Education Criteria.

Mission Specificity

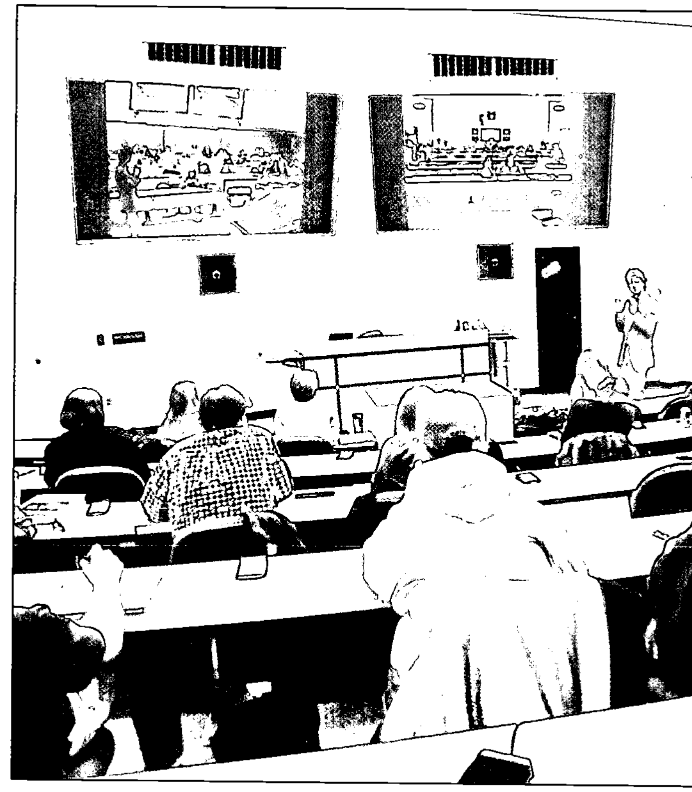
Although education organizations typically share common aims, individual organizational missions, roles, and programs vary greatly. Use of a single set of Criteria to cover all your organizational requirements means that these requirements need to be interpreted in terms of your own organizational mission. This is necessary because specific requirements and critical success factors differ from organization to organization. For this reason, effective use of the Criteria depends on putting these mission requirements into operation consistently across the seven Categories of the Criteria framework. In particular, Strategic Planning (Category 2) needs to address your key mission requirements, setting the stage for the interpretation of your other requirements. For example, results reported in Organizational Performance Results (Category 7) need to reflect results consistent with your organization's mission and strategic objectives.

The Education Criteria are most explicit in the area of student learning, as this requirement is common to all education organizations regardless of their larger missions. Despite this commonality, the focus of student learning and development depends on your organizational mission. For example, results reported by trade schools, engineering schools, and music schools would be expected to differ because they would reflect each organization's mission. Nevertheless, all three types of organizations would be expected to show year-to-year improvements in their mission-specific results to demonstrate the effectiveness of their performance improvement efforts.

Customers

The Business Criteria for Performance Excellence use the generic term "customers" to describe the users of products or services. Although market success depends heavily on user preference, other stakeholders must be considered as well when setting overall organizational requirements. In the Education Criteria, the focus is on students and stakeholders, the key beneficiaries of educational programs, offerings, and services.

As do businesses, education organizations must respond to a variety of requirements—all of which should be incorporated into responses to the Education Criteria. The adaptation of the Business Criteria to education includes a specific approach for defining key student requirements. This approach distinguishes between students and stakeholders for purposes of clarity and emphasis. Stakeholders include parents, employers, other schools, and communities. The requirements for current students differ from those for future students. Requirements for current students are more concrete, specific, and immediate; determining requirements for future students is part of the organization's planning and should take into account changing student populations and changing requirements future students must be able to meet. A major challenge organizations face is "bridging" current student needs and the needs of future students. This requires an effective organizational learning and change strategy.



Education organizations must also address the variety of requirements of their various stakeholders. Stakeholders' requirements are of two types: (1) requirements directly related to your organization's educational services and (2) requirements of the stakeholders themselves. For example, parents might request services related to their children's educational program, such as integration of math and science curricula (type 1), and the parents might also request special meeting times with the school to accommodate their work schedules (type 2). Many of the needs of businesses and other stakeholders are actually needs that must be addressed in your organization's educational services for students. The Education Criteria place primary emphasis on such needs because your organization's success depends heavily on translating these needs into effective educational services and experiences. In addition, successful operation of an organization may depend on satisfying accreditation, environmental, legal, and other requirements.

Thus, meaningful responses to the Criteria need to incorporate all relevant requirements that organizations must meet to be successful.

Concept of Excellence

The concept of excellence built into the Criteria is that of "value-added" demonstrated performance. Such performance has two manifestations: (1) year-to-year improvement in key measures and indicators of performance, especially student learning, and (2) demonstrated leadership in performance and performance improvement relative to comparable organizations and to appropriate benchmarks.

This concept of excellence is used because (1) it places the major focus on teaching and learning strategies; (2) it poses similar types of challenges for all organizations regardless of resources and incoming student preparation and abilities; (3) it is most likely to stimulate learning-related research and to offer a means to disseminate the results of such research; and (4) it offers the potential to create an expanding body of knowledge of successful teaching and learning practices in the widest range of organizations.

The focus on value-added contributions by your organization does not presuppose manufacturing-oriented, mechanistic, or additive models of student development. Also, the use of a value-added concept does not imply that your organization's management system should include documented procedures or attempt to define "conformity" or "compliance." Rather, the performance concept in the Education Criteria means that your organization should view itself as a key developmental influence on students (though not the only influence) and that your organization should seek to understand and optimize its influencing factors, guided by an effective assessment strategy.

Assessment Strategy

Central and crucial to the success of the concept of excellence in the Education Criteria is a well-conceived and well-executed assessment strategy. The characteristics of such a strategy should include the following:

- Clear ties should be established between what is assessed and your organization's mission and objectives. This means not only what your students know but also what they are able to do.
- There should be a strong focus on improvement—of your students' performance, your faculty's capabilities, and your organization's program performance.
- An embedded, ongoing assessment with prompt feedback should be an integral component.
- The assessment also should be based on curricula, reference appropriate criteria, and address your key learning goals and your overall performance requirements.
- Clear guidelines should be established regarding how your assessment results will be used and how they will not be used.
- There should be an ongoing evaluation of your assessment system itself to improve the connection between assessment and student success. Success factors should be developed on an ongoing basis based on external requirements such as those derived from your markets and from other organizations.

Primary Focus on Teaching and Learning

Although the Education Criteria framework is intended to address all organizational requirements, including research and service, primary emphasis is placed on teaching and learning. This is done for three main reasons:

(1) Teaching and learning are the principal goals of education organizations. Thus, sharing successful teaching and learning strategies and methods would have the greatest impact on improving the nation's education organizations.

(2) Those who encouraged the creation of a Baldrige Award category for education cited improvement in teaching and learning as their primary or only rationale for such an award.

(3) Only a small percentage of education organizations engage in research. Peer review systems exist to evaluate research. Funding organizations and businesses provide avenues to channel the directions of much research. Numerous excellent forums and media already exist for sharing research results. Much of the research performed in education organizations involves students as part of their own overall education. Thus, the educational role of research is incorporated in the Education Criteria as part of teaching and learning. Other important aspects of research—faculty development and student and faculty recruitment—are also addressed in the Criteria.

The Education Criteria for Performance Excellence continue to evolve, to help educators address a dynamic environment, to focus on strategy-driven performance, to consider the needs of all students and stakeholders, and to accommodate important changes in organizational needs and practices. The increasing importance of a focus on governance and ethics, the need to capitalize on knowledge assets, and the alignment of all aspects of your performance management system with your results measurements receive greater attention in the 2003 Education Criteria. In addition, the Education Criteria emphasize the roles of organizational and personal learning and motivation as key differentiators in high-performing organizations. The Education Criteria continue to emphasize the central role that students and other key stakeholders play in defining and achieving performance excellence.

Criteria questions have been better aligned throughout the seven Categories and in the Organizational Profile. These changes have been made to improve Baldrige self-assessment and external assessment, the determination of organizational gaps and alignment in approach and deployment (Categories 1–6), and the determination of organizational gaps and strength of performance in results areas (Category 7).

Two underlying concepts framed the overall thought process that led to this year's Education Criteria changes. The first is the need to have a set of Education Criteria for "evidence-based management." The Criteria and the linkages among the Organizational Profile, Approach-Deployment Items (Categories 1–6), and Results Items (Category 7) have been strengthened to better provide that framework. The second is the need to have a set of Criteria that focuses on the dual challenges of "running the organization" and "changing the organization," to pursue current and future success, and to focus on opportunities for innovation.

The most significant changes in the Education Criteria and the Criteria booklet are summarized as follows:

- The number of Areas to Address has been increased from 30 to 32.
- All Criteria language has been converted to question format. Questions have been simplified to aid in understanding. Related questions have been grouped under one number (e.g., 1.1a[1]) and do not require separate responses. These multiple questions serve as a guide in understanding the full meaning of the information being requested.
- Category 1, **Leadership**, now includes an increased focus on organizational governance and leadership's responsibility for your organization's legal and ethical behavior.
- Category 4, **Measurement, Analysis, and Knowledge Management**, has been given an expanded title and content to reflect the growing importance of capturing, protecting, and disseminating organizational knowledge.
- Category 6, **Process Management**, now addresses all key processes in two Items. These Items cover your organization's learning-centered processes that create value (programs, offerings, and student services) and your support processes (supporting learning-centered processes).
- Category 7, **Organizational Performance Results**, now includes a separate Results Item on governance and social responsibility to encourage ongoing monitoring of these areas of importance.
- Five terms have been added to the Glossary of Key Terms: governance, key, knowledge assets, persistence, and value creation. Whenever a key term appears in either the Criteria or Scoring Guidelines sections of this booklet, it now is presented in SMALL CAPS/SANS SERIF to indicate that more information on the term is available in the glossary.

There have been some changes in all Criteria Items; the most significant changes are highlighted and discussed below.

Preface: Organizational Profile

- Item P.1, **Organizational Description**, now includes a description of your governance system and a description of the role of suppliers in your key organizational processes. These additions help set the context for your later Criteria Item responses.
- Item P.2, **Organizational Challenges**, now includes a request for available sources for comparative data to emphasize the need to develop these sources and to provide a context for your later description of how you select your sources of comparative data. A note has been added to Item P.2 that organizational approaches to process improvement might include using the Plan-Do-Study-Act process and other performance improvement methodology.

Category 1: Leadership

- Item 1.1, **Organizational Leadership**, has been modified to emphasize your senior leaders' and governing/policy-making body's roles in creating an environment that fosters and requires legal and ethical behavior.
- Item 1.2, now **Social Responsibility**, has been modified to include your key processes and measures for monitoring ethical behavior throughout your organization.

Category 2: Strategic Planning

- Item 2.2, **Strategy Deployment**, has an added focus on continuity. In particular, the Item addresses how you will sustain changes accomplished through your action plans.

Category 3: Student, Stakeholder, and Market Focus

- The language in this Category has an enhanced focus on students and stakeholders, with the addition of specific references to building loyalty and exceeding expectations, as well as meeting their absolute requirements.

Category 4: Measurement, Analysis, and Knowledge Management

- Item 4.1, **Measurement and Analysis of Organizational Performance**, in recognition of the continuously changing measurement and analysis needs of organizations, has an enhanced emphasis on addressing innovation and organizational changes throughout the academic community.
- Item 4.2, now **Information and Knowledge Management**, has a new Area to Address on the management of organizational knowledge, in recognition of its growing importance.

Category 5: Faculty and Staff Focus

- Item 5.1, **Work Systems**, now has three Areas to Address to focus attention on its three important aspects: Organization and Management of Work, Faculty and Staff Performance Management System, and Hiring and Career Progression.
- Item 5.2, now **Faculty and Staff Learning and Motivation**, has two Areas to Address, with an enhanced emphasis on faculty and staff motivation and career development.

Category 6: Process Management

- Item 6.1, **Learning-Centered Processes**, is a new Item that replaces Items 6.1 (Education Design and Delivery Processes) and 6.2 (Student Services) from the 2002 Criteria. This new Item addresses all the processes your organization considers important for creating value for the organization, your students, and other key stakeholders. They are the processes most important to maximizing student learning and success and achieving a sustainable competitive advantage.
- Item 6.2, now **Support Processes**, was Item 6.3 in 2002. It asks you to identify and describe your key processes that support your learning-centered processes.

Category 7: Organizational Performance Results

- Item 7.6, **Governance and Social Responsibility Results**, is a new Results Item in 2003. This Item was added to reflect the need to build stakeholder trust in the governance of your organization and to ensure ethical behavior and legal compliance.

Are We Making Progress?

If you have been using the Baldrige Criteria in your organization and want to evaluate how much progress has been made, consider using our questionnaire, *Are We Making Progress?* Available in English and Spanish, this short questionnaire is organized according to the seven Baldrige Criteria Categories and is suitable for distribution to your faculty and staff, your supervisors, or your senior leaders.

You may download a PDF version of *Are We Making Progress?* from the Baldrige Web site at www.quality.nist.gov or request a paper copy of the document by calling (301) 975-2036.

P Preface: Organizational Profile

P.1 Organizational Description

P.2 Organizational Challenges

2003 Categories and Items		Point Values
1 Leadership		**120**
1.1 Organizational Leadership	70	
1.2 Social Responsibility	50	
2 Strategic Planning		**85**
2.1 Strategy Development	40	
2.2 Strategy Deployment	45	
3 Student, Stakeholder, and Market Focus		**85**
3.1 Student, Stakeholder, and Market Knowledge	40	
3.2 Student and Stakeholder Relationships and Satisfaction	45	
4 Measurement, Analysis, and Knowledge Management		**90**
4.1 Measurement and Analysis of Organizational Performance	45	
4.2 Information and Knowledge Management	45	
5 Faculty and Staff Focus		**85**
5.1 Work Systems	35	
5.2 Faculty and Staff Learning and Motivation	25	
5.3 Faculty and Staff Well-Being and Satisfaction	25	
6 Process Management		**85**
6.1 Learning-Centered Processes	50	
6.2 Support Processes	35	
7 Organizational Performance Results		**450**
7.1 Student Learning Results	150	
7.2 Student- and Stakeholder-Focused Results	60	
7.3 Budgetary, Financial, and Market Results	60	
7.4 Faculty and Staff Results	60	
7.5 Organizational Effectiveness Results	60	
7.6 Governance and Social Responsibility Results	60	
TOTAL POINTS		**1000**

Note: The Scoring System used with the Criteria Items in a Baldrige assessment can be found on pages 58–60.

Importance of Beginning with Your Organizational Profile

Your Organizational Profile is critically important because

- it is the most appropriate starting point for self-assessment and for writing an application;
- it helps you identify potential gaps in KEY information and focus on KEY PERFORMANCE requirements and organizational PERFORMANCE RESULTS;
- it is used by the Examiners and Judges in application review, including the site visit, to understand your organization and what you consider important; and
- it also may be used by itself for an initial self-assessment. If you identify topics for which conflicting, little, or no information is available, it is possible that your assessment need go no further and you can use these topics for action planning.

P Preface: Organizational Profile

The ***Organizational Profile*** is a snapshot of your organization, the KEY influences on HOW you operate and the KEY challenges you face.

P.1 Organizational Description

Describe your organization's environment and your KEY relationships with students, STAKEHOLDERS, suppliers, and other PARTNERS.

Within your response, include answers to the following questions:

a. Organizational Environment

(1) What are your organization's main educational programs, offerings, and services? What are the delivery mechanisms used to provide your educational programs, offerings, and services to students?

(2) What is your organizational culture? What are your stated PURPOSE, VISION, MISSION, and VALUES?

(3) What is your faculty and staff profile? What are your faculty and staff education LEVELS? What are your organization's workforce and job diversity, organized bargaining units, use of contract employees, and special health and safety requirements?

(4) What are your major technologies, equipment, and facilities?

(5) What is the regulatory environment under which your organization operates? What are the mandated federal, state, and local standards, curricula, programs, and assessments; applicable occupational health and safety regulations; accreditation requirements; administrator and teacher certification requirements; and environmental and financial regulations? What are your district boundaries and service offering restrictions?

b. Organizational Relationships

(1) What are your organizational structure and GOVERNANCE system? What are the reporting relationships between your governing board(s) and your SENIOR LEADERS, as appropriate?

(2) What are your KEY STUDENT SEGMENTS, STAKEHOLDER groups, and/or market segments, as appropriate? What are their KEY requirements and expectations for your programs, offerings, and services? What are the differences in these requirements and expectations among STUDENT SEGMENTS, STAKEHOLDER groups, and market segments?

(3) What role do suppliers and PARTNERS play in your learning-centered PROCESSES? What are your most important types of suppliers and PARTNERS? What are your most important requirements for your suppliers?

(4) What are your KEY supplier, PARTNER, student, and STAKEHOLDER relationships and communication mechanisms?

Notes:

N1. The term "organization," as used in the Criteria, refers to the unit being assessed. The unit might be a school, a school district, a postsecondary organization, or a major academic unit within a college or university.

N2. The term "suppliers/partners," as used in the Criteria, refers to providers of student services such as social services, before-/after-school day care, external bookstores, and transportation; partners such as future employers of students; and suppliers of goods for operations such as computing, photocopying, and grounds maintenance.

N3. Delivery of education programs, offerings, and services to your students and stakeholders (P.1a[1]) might be provided directly or through partners.

N4. Student segments, stakeholder groups, and market segments (P.1b[2]) might be based on education programs, offerings, services, or features; geography; volume; or other factors that allow your organization to define related market characteristics.

N5. Student segment and stakeholder group requirements (P.1b[2]) might include special accommodation, customized curricula, reduced class size, customized degree requirements, student advising, dropout recovery programs, and electronic communication.

N6. Communication mechanisms (P.1b[4]) should be two-way and might be in person, electronic, by telephone, and/or written. For many organizations, these mechanisms might change as requirements change.

For definitions of key terms presented throughout the Criteria and Scoring Guidelines text in SMALL CAPS/SANS SERIF, see the Glossary of Key Terms on pages 35–41.

Frequently, several questions are grouped under one number (e.g., P.1a[3]). These questions are related and do not require separate responses. These multiple questions serve as a guide in understanding the full meaning of the information being requested.

Item notes serve three purposes: (1) to clarify terms or requirements presented in an Item, (2) to give instructions on responding to the Item requirements, and (3) to indicate key linkages to other Items. In all cases, the intent is to help you respond to the Item requirements.

P.2 Organizational Challenges

Describe your organization's competitive environment, your KEY STRATEGIC CHALLENGES, and your system for PERFORMANCE improvement.

Within your response, include answers to the following questions:

a. Competitive Environment

(1) What is your competitive position? What is your relative size and growth in your education sector or markets served? What are the numbers and types of competitors for your organization?

(2) What are the principal factors that determine your success relative to your competitors and comparable organizations delivering similar services? What KEY changes are taking place that affect your competitive situation?

(3) What are your KEY available sources of comparative and competitive data from within the academic community? What are your KEY available sources of comparative data for applicable analogous PROCESSES outside the academic community? What limitations, if any, are there in your ability to obtain these data?

b. STRATEGIC CHALLENGES

What are your KEY education and learning, operational, human resource, and community-related STRATEGIC CHALLENGES?

c. PERFORMANCE Improvement System

(1) What is the overall APPROACH you use to maintain an organizational focus on PERFORMANCE improvement and to guide SYSTEMATIC evaluation and improvement of KEY PROCESSES?

(2) What is your overall APPROACH to organizational learning and sharing your KNOWLEDGE ASSETS within the organization?

Notes:

N1. Factors (P.2a[2]) might include differentiators such as academic program leadership, services, student-to-faculty ratio, student and stakeholder satisfaction, recruitment and retention of faculty and staff, geographic proximity, and program options.

N2. Challenges (P.2b) might include electronic communication with key stakeholders; reduced educational program introduction cycle times; student transitions; special programming needs; achievement gaps for segmented groups; time allotment for professional development, planning, instruction, and learning; restructuring of schools; costly tasks involved in reforming educational structures, instruction, curricula, and programming; entry into new markets or segments; changing demographics and competition; student persistence; and faculty/staff retention.

N3. Performance improvement (P.2c) is an assessment dimension used in the Scoring System to evaluate the maturity of organizational approaches and deployment (see pages 58–60). This question is intended to help you and the Baldrige Examiners set a context for your approach to performance improvement.

N4. Overall approaches to process improvement (P.2c[1]) might include implementing the Plan-Do-Study-Act process; completing accreditation self-studies; applying nationally validated systems to improve teaching performance; or performing independent institutional/departmental/program assessments.

Page Limit

For Baldrige Award applicants, the Organizational Profile is limited to five pages. These pages are not counted in the overall application page limit. Typing and format instructions for the Organizational Profile are the same as for the application. These instructions are given in the *Baldrige Award Application Forms* booklet. Ordering information is given on page 67.

1 Leadership (120 pts.)

The *Leadership* Category examines HOW your organization's SENIOR LEADERS address your organizational VALUES, directions, and PERFORMANCE expectations, as well as a focus on students and STAKEHOLDERS, student learning, faculty and staff EMPOWERMENT, INNOVATION, and organizational learning. Also examined are your organization's GOVERNANCE and HOW your organization addresses its public and community responsibilities.

1.1 Organizational Leadership (70 pts.)

Approach-Deployment

Describe HOW SENIOR LEADERS **guide your organization. Describe your organization's** GOVERNANCE **system. Describe** HOW SENIOR LEADERS **review organizational** PERFORMANCE.

Within your response, include answers to the following questions:

a. Senior Leadership Direction

(1) How do SENIOR LEADERS set and deploy your organizational VALUES, short- and longer-term directions, and PERFORMANCE expectations? How do SENIOR LEADERS include a focus on creating and balancing VALUE for students and other STAKEHOLDERS in their PERFORMANCE expectations? How do SENIOR LEADERS communicate organizational VALUES, directions, and expectations through your LEADERSHIP SYSTEM, to all faculty and staff, and to KEY suppliers and PARTNERS? How do SENIOR LEADERS ensure two-way communication on these topics?

(2) How do SENIOR LEADERS create an environment for EMPOWERMENT, INNOVATION, safety, equity for all students, and organizational agility? How do they create an environment for organizational and faculty and staff learning? How do they create an environment that fosters and requires legal and ethical behavior?

b. Organizational GOVERNANCE

How does your organization address the following KEY factors in your GOVERNANCE system?

- management accountability for the organization's actions
- fiscal accountability
- independence in internal and external audits, as appropriate
- protection of stockholder and STAKEHOLDER interests, as appropriate

c. Organizational PERFORMANCE Review

(1) How do SENIOR LEADERS review organizational PERFORMANCE and capabilities? How do they use these reviews to assess organizational success, PERFORMANCE relative to competitors and comparable organizations, and progress relative to short- and longer-term GOALS, including student achievement GOALS? How do they use these reviews to assess your organizational ability to address changing organizational needs?

(2) What are the KEY PERFORMANCE MEASURES regularly reviewed by your SENIOR LEADERS? What are your KEY recent PERFORMANCE review findings?

(3) How do SENIOR LEADERS translate organizational PERFORMANCE review findings into priorities for continuous and breakthrough improvement of KEY organizational RESULTS and into opportunities for INNOVATION? HOW are these priorities and opportunities deployed throughout your organization? When appropriate, HOW are they deployed to your feeder and/or receiving schools and to your suppliers and PARTNERS to ensure organizational ALIGNMENT?

(4) How do you evaluate the PERFORMANCE of your SENIOR LEADERS, including the head of the organization? How do you evaluate the PERFORMANCE of members of your governing/policy-making body, e.g., board of directors, trustees, or school board, as appropriate? How do SENIOR LEADERS use organizational PERFORMANCE review findings to improve both their own leadership effectiveness and your LEADERSHIP SYSTEM, as appropriate?

Notes:

N1. Organizational directions (1.1a[1]) relate to creating the vision for the organization and to setting the context for strategic objectives and action plans described in Items 2.1 and 2.2.

N2. Senior leaders' organizational performance reviews (1.1c) should be informed by organizational performance analyses described in 4.1b and guided by strategic objectives and action plans described in Items 2.1 and 2.2. Senior leaders' organizational performance reviews also might be informed by internal or external Baldrige assessments.

N3. Leadership performance evaluation (1.1c[4]) might be supported by peer reviews, formal performance management reviews (5.1b), and formal and/or informal feedback and survey data from faculty, staff, and other stakeholders.

N4. Your organizational performance results should be reported in Items 7.1–7.6.

Item responses are assessed by considering the Criteria Item requirements; your KEY organization factors presented in your Organizational Profile; and the maturity of your APPROACHES, breadth of their DEPLOYMENT, and strength of your improvement PROCESS and RESULTS relative to the Scoring System. Refer to the Scoring System information on pages 58–60.

For additional description of this Item, see page 42.

1.2 Social Responsibility (50 pts.)

Approach-Deployment

Describe HOW your organization addresses its responsibilities to the public, ensures ethical behavior, and practices good citizenship.

Within your response, include answers to the following questions:

a. Responsibilities to the Public

(1) HOW do you address the impacts on society of your programs, offerings, services, and operations? What are your KEY compliance PROCESSES, MEASURES, and GOALS for achieving and surpassing regulatory, safety, accreditation, and legal requirements, as appropriate? What are your KEY PROCESSES, MEASURES, and GOALS for addressing risks associated with your programs, offerings, services, and operations?

(2) HOW do you anticipate public concerns with current and future programs, offerings, services, and operations? HOW do you prepare for these concerns in a proactive manner?

b. Ethical Behavior

HOW do you ensure ethical behavior in all student and STAKEHOLDER transactions and interactions? What are your KEY PROCESSES and MEASURES or INDICATORS for monitoring ethical behavior throughout your organization, with KEY PARTNERS, and in your GOVERNANCE structure?

c. Support of KEY Communities

HOW does your organization actively support and strengthen your KEY communities? HOW do you identify KEY communities and determine areas of emphasis for organizational involvement and support? What are your KEY communities? HOW do your SENIOR LEADERS and your faculty and staff contribute to improving these communities?

Notes:

N1. Societal responsibilities in areas critical to your organization also should be addressed in Strategy Development (Item 2.1) and in Process Management (Category 6). Key results, such as results of regulatory, legal, and accreditation compliance or environmental improvements through use of "green" technology or other means, should be reported as Governance and Social Responsibility Results (in Item 7.6).

N2. Measures or indicators of ethical behavior (1.2b) might include evidence that policies, public disclosure of information, staff training, and monitoring systems are in place with respect to conflict of interest, acceptable use of technology, use of active funds, or appropriate selection of vendors. Other measures or indicators might include the integrity of testing, faculty and staff accreditation, and equal access to resources.

N3. In describing your organization's support of key communities in 1.2c, include the contribution of your senior leaders, faculty and staff, and students. Areas of

24

community support appropriate for inclusion might include your efforts to strengthen local community services, community education, the environment, and practices of professional associations.

For additional description of this Item, see pages 42–43.

N4. The health and safety of faculty and staff are not addressed in Item 1.2; you should address these factors in Item 5.3.

2 Strategic Planning (85 pts.)

The *Strategic Planning* Category examines HOW your organization develops STRATEGIC OBJECTIVES and ACTION PLANS. Also examined are HOW your chosen STRATEGIC OBJECTIVES and ACTION PLANS are deployed and HOW progress is measured.

2.1 Strategy Development (40 pts.)

Approach-Deployment

Describe HOW your organization establishes its STRATEGIC OBJECTIVES, including HOW it addresses learning-centered education to ensure student achievement, addresses KEY student and STAKEHOLDER needs, enhances its PERFORMANCE relative to competitors and comparable organizations, and enhances its overall PERFORMANCE and future success.

Within your response, include answers to the following questions:

a. Strategy Development PROCESS

(1) What is your overall strategic planning PROCESS? What are the KEY steps? Who are the KEY participants? What are your short- and longer-term planning time horizons? HOW are these time horizons set? HOW does your strategic planning PROCESS address these time horizons?

(2) HOW do you ensure that strategic planning addresses the KEY factors listed below? HOW do you collect and analyze relevant data and information to address these factors as they relate to your strategic planning:

- your student, STAKEHOLDER, and market needs, expectations, and opportunities, including student achievement
- your competitive environment and your capabilities relative to competitors and comparable organizations
- your educational reform, technological INNOVATIONS, or other KEY changes that might affect your programs, offerings, services, and HOW you operate
- your strengths and weaknesses, including faculty and staff and other resources
- your opportunities to redirect resources to higher priority programs, offerings, services, or areas
- your capability to assess student learning and development
- budgetary, societal, ethical, regulatory, and other potential risks
- changes in the local, regional, or national economic environment
- factors unique to your organization, including PARTNERS' and suppliers' needs, strengths, and weaknesses

b. STRATEGIC OBJECTIVES

(1) What are your KEY STRATEGIC OBJECTIVES and your timetable for accomplishing them? What are your most important GOALS for these STRATEGIC OBJECTIVES?

(2) HOW do your STRATEGIC OBJECTIVES address the challenges identified in response to P.2 in your Organizational Profile? HOW do you ensure that your STRATEGIC OBJECTIVES balance short- and longer-term challenges and opportunities? HOW do you ensure that your STRATEGIC OBJECTIVES balance the needs of all students and KEY STAKEHOLDERS?

Notes:

N1. "Strategy development" refers to your organization's approach (formal or informal) to preparing for the future. Strategy development might utilize various types of forecasts, projections, options, scenarios, and/or other approaches to envisioning the future for purposes of decision making and resource allocation.

N2. "Strategy" should be interpreted broadly. Strategy might be built around or lead to any or all of the following: addition or termination of services and programs; redirection of resources; modifications in instructional design; use of technology; changes in testing or adoption of standards; services to new, changing, and special student populations; geographic challenges; research priorities; and new partnerships and alliances.

N3. Strategies to address key challenges (2.1b[2]) might include rapid response, customization of educational offerings, understanding a changing education market, rapid innovation, and information management. Responses to Item 2.1 should focus on your specific challenges—those most important to your students' success and to strengthening your organization's overall performance.

N4. Item 2.1 addresses your overall organizational strategy, which might include changes in educational programs and services. However, the Item does not address educational program and service design; you should address these factors in Item 6.1, as appropriate.

For additional description of this Item, see pages 43–44.

2.2 Strategy Deployment (45 pts.)

Approach-Deployment

Describe HOW your organization converts its STRATEGIC OBJECTIVES into ACTION PLANS. Summarize your organization's ACTION PLANS and related KEY PERFORMANCE MEASURES or INDICATORS. Project your organization's future PERFORMANCE on these KEY PERFORMANCE MEASURES or INDICATORS.

Within your response, include answers to the following questions:

a. ACTION PLAN Development and DEPLOYMENT

(1) HOW do you develop and deploy ACTION PLANS to achieve your KEY STRATEGIC OBJECTIVES? HOW do you allocate resources to ensure accomplishment of your ACTION PLANS? HOW do you ensure that the KEY changes resulting from ACTION PLANS can be sustained?

(2) What are your KEY short- and longer-term ACTION PLANS? What are the KEY changes, if any, in your programs, offerings, and services; your anticipated or planned student and STAKEHOLDER markets; and HOW you will operate?

(3) What are your KEY human resource plans that derive from your short- and longer-term STRATEGIC OBJECTIVES and ACTION PLANS?

(4) What are your KEY PERFORMANCE MEASURES or INDICATORS for tracking progress on your ACTION PLANS? HOW do you ensure that your overall ACTION PLAN measurement system reinforces organizational ALIGNMENT? HOW do you ensure that the measurement system covers all KEY DEPLOYMENT areas, students, and STAKEHOLDERS?

b. PERFORMANCE PROJECTION

For the KEY PERFORMANCE MEASURES or INDICATORS identified in 2.2a(4), what are your PERFORMANCE PROJECTIONS for both your short- and longer-term planning time horizons? HOW does your projected PERFORMANCE compare with the projected PERFORMANCE of competitors and comparable organizations? HOW does it compare with KEY BENCHMARKS, GOALS, and past PERFORMANCE, as appropriate?

Notes:

N1. Strategy and action plan development and deployment are closely linked to other Items in the Criteria. Examples of key linkages are

- Item 1.1 for how your senior leaders set and communicate directions;
- Category 3 for gathering knowledge of students, stakeholders, and markets as input to your strategy and action plans and for deploying action plans;
- Category 4 for measurement, analysis, and knowledge management to support your key information needs, to support your development of strategy, to provide an effective basis for your performance measurements, and to track progress relative to your strategic objectives and action plans;
- Category 5 for your work system needs; faculty and staff education, training, and development needs; and related human resource factors resulting from action plans;
- Category 6 for process requirements resulting from your action plans; and
- Item 7.5 for specific accomplishments relative to your organizational strategy and action plans.

N2. Human resource plans might include faculty, academic staff members, nonacademic staff members, contract employees, and volunteers.

N3. Measures and indicators of projected performance (2.2b) might include changes resulting from innovations in education delivery or use of technology, redirection of resources, effectiveness of research and services, improved performance of administrative and other support functions, improvement in safety, and significant anticipated innovations in services or technology.

For additional description of this Item, see pages 44–45.

3 Student, Stakeholder, and Market Focus (85 pts.)

The ***Student, STAKEHOLDER, and Market Focus*** Category examines HOW your organization determines requirements, expectations, and preferences of students, STAKEHOLDERS, and markets. Also examined is HOW your organization builds relationships with students and STAKEHOLDERS and determines the KEY factors that attract students and PARTNERS and lead to student and STAKEHOLDER satisfaction, loyalty, and PERSISTENCE and to increased educational services and programs.

3.1 Student, Stakeholder, and Market Knowledge (40 pts.)

Approach-Deployment

Describe HOW your organization determines requirements, expectations, and preferences of students, STAKEHOLDERS, and markets to ensure the continuing relevance of your educational programs, offerings, and services; to develop new opportunities; and to create an overall climate conducive to learning and development for all students.

Within your response, include answers to the following questions:

a. Student, STAKEHOLDER, and Market Knowledge

(1) HOW do you determine or target the STUDENT SEGMENTS and markets your educational programs will address? HOW do you include STUDENT SEGMENTS currently served by other education providers and other potential STUDENT SEGMENTS and markets in this determination?

(2) HOW do you listen and learn to determine students' and STAKEHOLDERS' requirements and expectations (including educational program, offering, and service features) and their relative importance to these groups' decisions related to enrollment? HOW do determination methods vary for different STUDENT SEGMENTS and STAKEHOLDER groups? HOW do you use relevant information from current, former, and future students and STAKEHOLDERS, including utilization of offerings, facilities, and services; PERSISTENCE; voluntary departure or transfer; and complaints? HOW do you use this information for purposes of planning educational programs, offerings, and services; marketing; PROCESS improvements; and the development of other services?

(3) HOW do you keep your listening and learning methods current with educational service needs and directions?

Notes:

N1. Your responses to this Item should include the student segments, stakeholder groups, and market segments identified in P.1b(2).

N2. "Educational program, offering, and service features" (3.1a[2]) refers to all important characteristics of programs, services, and offerings available throughout the period of time students attend your organization. This includes the period from students' initial decisions to enroll in your organization through the time of their departures. The focus should be on features that affect students' and stakeholders' preferences, general and special needs, and other requirements. These features might include curricular focus, student placement following completion of the educational goal or training objective, faculty and staff composition, extracurricular activities, or tuition and other associated costs.

N3. Listening and learning (3.1a[2]) might include gathering and integrating surveys, focus group findings, and Web-based and other data and information that bear upon students' and stakeholders' education decisions. Keeping your listening and learning methods current with educational service needs and directions (3.1a[3]) also might include use of current and new technology, such as Web-based data gathering.

For additional description of this Item, see pages 45–46.

3.2 Student and Stakeholder Relationships and Satisfaction (45 pts.)

Approach-Deployment

Describe HOW your organization builds relationships to attract, satisfy, and retain students and STAKEHOLDERS; to increase student and STAKEHOLDER loyalty; and to develop new program and service opportunities. Describe also HOW your organization determines student and STAKEHOLDER satisfaction.

Within your response, include answers to the following questions:

a. Student and STAKEHOLDER Relationships

(1) How do you build relationships to attract and retain students and STAKEHOLDERS, to enhance students' PERFORMANCE and to meet and exceed their expectations for learning, to satisfy students and STAKEHOLDERS, and to foster new and continuing interactions and positive referrals?

(2) What are your KEY access mechanisms for students and STAKEHOLDERS to seek information, to pursue common purposes, and to make complaints? How do you determine KEY student and STAKEHOLDER contact requirements for each mode of access? How do you ensure that these contact requirements are deployed to all people and PROCESSES involved in maintaining these relationships?

(3) What is your complaint management PROCESS? How do you ensure that complaints are resolved effectively and promptly? How are complaints aggregated and analyzed for use in improvement throughout your organization and by your PARTNERS?

(4) How do you keep your APPROACHES to building relationships and providing student and STAKEHOLDER access current with educational service needs and directions?

b. Student and STAKEHOLDER Satisfaction Determination

(1) How do you determine student and STAKEHOLDER satisfaction and dissatisfaction? How do these determination methods differ among STUDENT SEGMENTS and STAKEHOLDER groups? How do you ensure that your measurements capture actionable information for use in exceeding students' and STAKEHOLDERS' expectations, securing their future interactions with your organization, and encouraging positive referral? How do you use student and STAKEHOLDER satisfaction and dissatisfaction information for improvement?

(2) How do you follow up with students and KEY STAKEHOLDERS on programs, services, and offerings to receive prompt and actionable feedback?

(3) How do you obtain and use information on the satisfaction of students and STAKEHOLDERS relative to their satisfaction with your competitors or other organizations delivering similar educational services and/or relative to academic BENCHMARKS?

(4) How do you keep your APPROACHES to determining satisfaction current with educational service needs and directions?

Notes:

N1. Student and stakeholder relationships (3.2a) might include the development of partnerships or alliances (e.g., with businesses or other schools).

N2. Determining student and stakeholder satisfaction and dissatisfaction (3.2b) might include use of any or all of the following: surveys, formal and informal feedback, dropout rates, absenteeism, student conflict data, and complaints. Information might be gathered on the Internet, through personal contact or a third party, or by mail.

N3. Student and stakeholder satisfaction measurements might include both a numerical rating scale and descriptors for each unit in the scale. Actionable student and stakeholder satisfaction measurements provide useful information about specific educational program and service features, delivery, interactions, and transactions that bear upon student development and learning and the students' and stakeholders' future actions (e.g., transfer and/or positive referral).

N4. Your student and stakeholder satisfaction and dissatisfaction results should be reported in Item 7.2.

For additional description of this Item, see pages 46–47.

4 Measurement, Analysis, and Knowledge Management (90 pts.)

The ***Measurement, ANALYSIS, and Knowledge Management*** Category examines HOW your organization selects, gathers, analyzes, manages, and improves its data, information, and KNOWLEDGE ASSETS.

4.1 Measurement and Analysis of Organizational Performance (45 pts.)

Approach-Deployment

Describe HOW your organization measures, analyzes, aligns, and improves student and operational PERFORMANCE data and information at all levels and in all parts of your organization.

Within your response, include answers to the following questions:

a. PERFORMANCE Measurement

(1) HOW do you select, collect, align, and integrate data and information, including evidence of student learning, for tracking daily operations and for tracking overall organizational PERFORMANCE? HOW do you use these data and information to support organizational decision making and INNOVATION?

(2) HOW do you select and ensure the EFFECTIVE use of KEY comparative data and information from within and outside the academic community to support operational and strategic decision making and INNOVATION?

(3) HOW do you keep your PERFORMANCE measurement system current with educational service needs and directions? HOW do you ensure that your PERFORMANCE measurement system is sensitive to rapid or unexpected organizational or external changes?

b. PERFORMANCE ANALYSIS

(1) What ANALYSES do you perform to support your SENIOR LEADERS' organizational PERFORMANCE review? What ANALYSES do you perform to support your organization's strategic planning?

(2) HOW do you communicate the RESULTS of organizational-level ANALYSES to faculty and staff to enable EFFECTIVE support for their decision making?

Notes:

N1. Performance measurement is used in fact-based decision making for setting and aligning organizational directions and resource use at the classroom, departmental, key process, school/college, and whole organization levels.

N2. Comparative data and information (4.1a[2]) are obtained by benchmarking and by seeking competitive comparisons. "Benchmarking" refers to identifying processes and results that represent best practices and performance for similar activities, inside or outside the academic community. Competitive comparisons relate your organization's performance to that of comparable organizations and/or student populations and competing organizations.

N3. Analysis includes examining trends; organizational, academic community, and technology projections; and comparisons, cause-effect relationships, and correlations intended to support your performance reviews, help determine root causes, and help set priorities for resource use. Accordingly, analysis draws upon all types of data: student, student group, school program, stakeholder, market, operational, budgetary, and comparative data.

N4. The results of organizational performance analysis should contribute to your senior leaders' organizational performance review in 1.1c and organizational strategic planning in Category 2.

N5. Your organizational performance results should be reported in Items 7.1–7.6.

For additional description of this Item, see pages 47–49.

4.2 Information and Knowledge Management (45 pts.)

Approach-Deployment

Describe HOW your organization ensures the quality and availability of needed data and information for faculty and staff, students and STAKEHOLDERS, and suppliers and PARTNERS. Describe HOW your organization builds and manages its KNOWLEDGE ASSETS.

Within your response, include answers to the following questions:

a. Data and Information Availability

(1) How do you make needed data and information available? How do you make them accessible to faculty and staff, students and STAKEHOLDERS, and suppliers or PARTNERS, as appropriate?

(2) How do you ensure that hardware and software are reliable, secure, and user friendly?

(3) How do you keep your data and information availability mechanisms, including your software and hardware systems, current with educational service needs and directions?

b. Organizational Knowledge

(1) How do you manage organizational knowledge to accomplish

- the collection and transfer of knowledge among faculty and staff
- the transfer of relevant knowledge from students, STAKEHOLDERS, suppliers, and PARTNERS
- the identification and sharing of best practices

(2) How do you ensure the following properties of your data, information, and organizational knowledge:

- integrity
- timeliness
- reliability
- security
- accuracy
- confidentiality

Notes:

N1. Data and information availability (4.2a) are of growing importance as the Internet and school Web sites are used increasingly for student-school and stakeholder-school interactions and as intranets become more important as a major source of organization-wide communications.

N2. Data and information access (4.2a[1]) might be via electronic and other means.

For additional description of this Item, see page 49.

5 Faculty and Staff Focus (85 pts.)

The *Faculty and Staff Focus* Category examines HOW your organization's WORK SYSTEMS and faculty and staff learning and motivation enable faculty and staff to develop and utilize their full potential in ALIGNMENT with your organization's overall objectives and ACTION PLANS. Also examined are your organization's efforts to build and maintain a work environment and faculty and staff support climate conducive to PERFORMANCE EXCELLENCE and to personal and organizational growth.

5.1 Work Systems (35 pts.)

Approach-Deployment

Describe HOW your organization's work and jobs enable faculty and staff and the organization to achieve HIGH PERFORMANCE. Describe HOW compensation, career progression, and related workforce practices enable faculty and staff and the organization to achieve HIGH PERFORMANCE.

Within your response, include answers to the following questions:

a. Organization and Management of Work

(1) HOW do you organize and manage work and jobs to promote cooperation, initiative, EMPOWERMENT, INNOVATION, and your organizational culture? HOW do you ensure that the skill levels and experiences of your workforce are equitably distributed (e.g., among individual schools or campuses)? HOW do you organize and manage work and jobs to achieve the agility to keep current with educational service needs?

(2) HOW do your WORK SYSTEMS capitalize on the diverse ideas, cultures, and thinking of your faculty and staff and the communities with which you interact (your faculty and staff hiring communities and your student and STAKEHOLDER communities)?

(3) HOW do you achieve EFFECTIVE communication and skill sharing across departments, jobs, and locations?

b. Faculty and Staff PERFORMANCE Management System

HOW does your faculty and staff PERFORMANCE management system, including feedback to faculty and staff, support HIGH-PERFORMANCE WORK? HOW does your faculty and staff PERFORMANCE management system support a student and STAKEHOLDER focus? HOW do your compensation, recognition, and related reward and incentive practices reinforce HIGH-PERFORMANCE WORK and a student and STAKEHOLDER focus?

c. Hiring and Career Progression

(1) HOW do you identify characteristics and skills needed by potential faculty and staff?

(2) HOW do you recruit, hire, and retain faculty and staff? HOW do you ensure the faculty and staff represent the diverse ideas, cultures, and thinking of your hiring community?

(3) HOW do you acomplish EFFECTIVE succession planning for senior leadership and supervisory positions? HOW do you manage EFFECTIVE career progression for all faculty and staff throughout the organization? HOW do you ensure that faculty and staff are appropriately certified or licensed?

Notes:

N1. "Faculty and staff" refers to your organization's permanent, temporary, and part-time personnel, as well as any contract employees supervised by your organization. Faculty and staff include team leaders, supervisors, faculty leaders, and administrators at all levels. Contract staff supervised by a contractor should be addressed in Category 6.

N2. "Your organization's work" refers to how your faculty and staff are organized or organize themselves in formal and informal, temporary, or longer-term units. This might include work teams, process teams, curriculum design teams, peer coaching teams, problem-solving teams, centers of excellence, research teams, cross-functional teams, and departments—self-managed or managed by supervisors.

"Jobs" refers to responsibilities, authorities, and tasks of individuals. In some work systems, jobs might be shared by a team.

N3. Compensation and recognition (5.1b) include promotions and bonuses that might be based upon performance, skills acquired, and other factors. Recognition includes monetary and nonmonetary, formal and informal, and individual and group mechanisms. Recognition systems for volunteers who contribute to the work of your organization should be included, as appropriate.

For additional description of this Item, see page 50.

5.2 Faculty and Staff Learning and Motivation (25 pts.)

Approach-Deployment

Describe HOW your organization's faculty and staff education, training, and career development support the achievement of your overall objectives and contribute to HIGH PERFORMANCE. Describe HOW your organization's education, training, and career development build faculty and staff knowledge, skills, and capabilities.

Within your response, include answers to the following questions:

a. Faculty and Staff Education, Training, and Development

(1) How do faculty and staff education and training contribute to the achievement of your ACTION PLANS? How do your faculty and staff education, training, and development address your KEY needs associated with organizational PERFORMANCE measurement, PERFORMANCE improvement, and technological change? How does your education and training APPROACH balance short- and longer-term organizational objectives with faculty and staff needs for development, learning, and career progression?

(2) How do faculty and staff education, training, and development address your KEY organizational needs associated with new employee orientation, diversity, ethical practices, and leadership development? How do faculty and staff education, training, and development address your KEY organizational needs associated with faculty and staff, workplace, and environmental safety?

(3) How do you seek and use input from faculty and staff and their supervisors on education and training needs? How do you incorporate your organizational learning and KNOWLEDGE ASSETS into your education and training?

(4) How do you deliver education and training? How do you seek and use input from faculty and staff and their supervisors on options for the delivery of education and training? How do you use both formal and informal delivery APPROACHES, including mentoring and other APPROACHES, as appropriate?

(5) How do you reinforce the use of new knowledge and skills on the job?

(6) How do you evaluate the effectiveness of education and training, taking into account individual and organizational PERFORMANCE?

b. Motivation and Career Development

How do you motivate faculty and staff to develop and utilize their full potential? How does your organization use formal and informal mechanisms to help faculty and staff attain job- and career-related development and learning objectives? How do SENIOR LEADERS and supervisors help faculty and staff attain job- and career-related development and learning objectives?

Notes:

N1. Education and training (5.2a[1]) may also address requirements for high-quality professional development, as specified in the No Child Left Behind Act of 2001.

N2. Education and training delivery (5.2a[4]) might occur inside or outside your organization and involve on-the-job, classroom, computer-based, distance learning, and other types of delivery (formal or informal).

For additional description of this Item, see pages 50–51.

5.3 Faculty and Staff Well-Being and Satisfaction (25 pts.)

Approach-Deployment

Describe HOW your organization maintains a work environment and faculty and staff support climate that contribute to the well-being, satisfaction, and motivation of all faculty and staff.

Within your response, include answers to the following questions:

a. Work Environment

(1) HOW do you improve workplace health, safety, security, and ergonomics? HOW do faculty and staff take part in improving them? What are your PERFORMANCE MEASURES or targets for each of these KEY workplace factors? What are the significant differences in workplace factors and PERFORMANCE MEASURES or targets if different faculty and staff groups and work units have different work environments?

(2) HOW do you ensure workplace preparedness for emergencies or disasters? HOW do you seek to ensure organizational continuity for the benefit of your faculty, staff, students, and other STAKEHOLDERS?

b. Faculty and Staff Support and Satisfaction

(1) HOW do you determine the KEY factors that affect faculty and staff well-being, satisfaction, and motivation? HOW are these factors segmented for a diverse workforce and for different categories and types of faculty and staff?

(2) HOW do you support your faculty and staff via services, benefits, and policies? HOW are these tailored to the needs of a diverse workforce and different categories and types of faculty and staff?

(3) What formal and informal assessment methods and MEASURES do you use to determine faculty and staff well-being, satisfaction, and motivation? HOW do these methods and MEASURES differ across a diverse workforce and different categories and types of faculty and staff? HOW do you use other INDICATORS, such as faculty and staff retention, absenteeism, grievances, safety, and PRODUCTIVITY, to assess and improve faculty and staff well-being, satisfaction, and motivation?

(4) HOW do you relate assessment findings to KEY organizational PERFORMANCE RESULTS to identify priorities for improving the work environment and faculty and staff support climate?

Notes:

N1. Specific factors that might affect your faculty and staff well-being, satisfaction, and motivation (5.3b[1]) include effective faculty and staff problem or grievance resolution; safety factors; faculty and staff views of administrators, faculty leadership, or supervisors; faculty and staff training, development, and career opportunities; faculty and staff preparation for changes in technology or the work organization; the work environment and other work conditions; empowerment of faculty and staff by administrators, faculty leadership, and supervisors; information sharing by administrators, faculty leadership, and supervisors; workload; cooperation and teamwork; recognition; services and benefits; communications; job security; compensation; and equal opportunity.

N2. Approaches for faculty and staff support (5.3b[2]) might include providing counseling, career development and employability services, recreational or cultural activities, nonwork-related education, day care, job rotation or sharing, special leave for family responsibilities or community service, home safety training, flexible work hours and location, outplacement, and retirement benefits (including extended health care).

N3. Measures and indicators of well-being, satisfaction, and motivation (5.3b[3]) might include data on safety and absenteeism; the overall faculty and staff turnover rate segmented by types and categories of faculty and staff; charitable contributions; grievances, strikes, and other job actions; insurance costs; workers' compensation claims; and results of surveys. Survey indicators of satisfaction might include faculty and staff knowledge of job roles, faculty and staff knowledge of organizational direction, and faculty and staff perception of empowerment and information sharing. Your results relative to such measures and indicators should be reported in Item 7.4.

N4. Identifying priorities (5.3b[4]) might draw upon your faculty and staff results presented in Item 7.4 and might involve addressing faculty and staff problems based on their impact on your organizational performance results.

For additional description of this Item, see pages 51–52.

6 Process Management (85 pts.)

The *PROCESS Management* Category examines the KEY aspects of your organization's PROCESS management, including KEY learning-centered PROCESSES for your educational programs, offerings, and services that create student, STAKEHOLDER, and organizational VALUE. It also includes KEY support PROCESSES. This Category encompasses all KEY PROCESSES and all work units.

6.1 Learning-Centered Processes (50 pts.)

Approach-Deployment

Describe HOW your organization identifies and manages its KEY PROCESSES for creating student and STAKEHOLDER VALUE and maximizing student learning and success.

Within your response, include answers to the following questions:

a. Learning-Centered PROCESSES

(1) HOW does your organization determine its learning-centered PROCESSES? What are your organization's KEY learning-centered PROCESSES that deliver your educational programs and offerings and student services? HOW do these PROCESSES create VALUE for the organization, your students, and your other KEY STAKEHOLDERS? HOW do they address student educational, developmental, and well-being needs and maximize students' success?

(2) HOW do you determine KEY learning-centered PROCESS requirements, incorporating input from students, faculty, staff, STAKEHOLDERS, suppliers, and PARTNERS, as appropriate? What are the KEY requirements for these PROCESSES? HOW do you ensure that faculty and staff are properly prepared to deliver your learning-centered PROCESSES? HOW do you anticipate and prepare for individual differences in student learning rates and styles? HOW is information on STUDENT SEGMENTS and individual students developed and used for purposes of engaging all students in ACTIVE LEARNING?

(3) HOW do you design these PROCESSES to meet all KEY requirements? HOW do you incorporate new technology and organizational knowledge into the design of these PROCESSES? HOW do you address sequencing and linkages among educational offerings? HOW do you incorporate CYCLE TIME and other efficiency and effectiveness factors into the design of these PROCESSES? HOW do you implement these PROCESSES to ensure they meet design requirements?

(4) What are your KEY PERFORMANCE MEASURES or INDICATORS used for the control and improvement of your learning-centered PROCESSES? HOW does your day-to-day operation of these PROCESSES ensure meeting KEY PROCESS requirements? HOW are in-process MEASURES used in managing these PROCESSES? HOW do you incorporate a measurement plan that makes EFFECTIVE use of FORMATIVE and SUMMATIVE ASSESSMENT? HOW is student, STAKEHOLDER, faculty, staff, and PARTNER input used in managing these PROCESSES, as appropriate?

(5) HOW do you improve your learning-centered PROCESSES to maximize student success; to improve educational programs, offerings, and services; and to keep the PROCESSES current with educational needs and directions? HOW are improvements shared with other organizational units?

Notes:

N1. "Education" should be interpreted broadly. Educational programs and offerings may include courses, research, outreach, cooperative projects and programs, and overseas studies. Your key learning-centered processes are those most important to maximizing student success. They are the processes that involve the majority of your organization's faculty and staff and produce value for students and stakeholders. They include the processes through which your organization adds greatest value to its programs and offerings. They also include the learning-centered processes most critical to adding value to the organization itself, resulting in student success and educational growth.

N2. Learning-centered processes differ greatly among organizations, depending on many factors. These factors include the nature of your programs, offerings, and services; how they are designed and delivered; technology requirements; student, stakeholder, supplier, and partner relationships and involvement; the use of computer-assisted, distance, and Web-based learning; the availability of offerings at different locations and times to meet student needs; the importance of research and development; and information and knowledge management. Responses to Item 6.1 should be based upon the most critical requirements and learning-centered processes for your programs and offerings.

N3. Proper preparation of your faculty (6.1a[2]) might address subject matter expertise and an understanding of the cognitive, social-emotional, and ethical development of students. It also might address training/experience in teaching strategies, facilitation skills, and learning assessment, as well as how to recognize and use learning research theory and how to report information and data on student progress. Preparation of faculty is linked to Item 5.2, which asks for information on how your training is tied to your organizational objectives and action plans.

N4. Sequencing and linkages among educational offerings (6.1a[3]) include not only relationships within a single discipline but also relationships among related disciplines. Linkages also may address your organization's mission-specific activities such as basic and applied research and outreach.

N5. To provide as complete and concise a response as possible for your key learning-centered processes, you might want to use a tabular format identifying the key processes and the attributes of each as called for in questions 6.1a(1)–6.1a(5).

N6. The results of improvements for your educational programs, offerings, and student services should be reported in Item 7.5. Results of improvements in student performance should be reported in Item 7.1.

For additional description of this Item, see pages 52–54.

6.2 Support Processes (35 pts.)

Approach-Deployment

Describe HOW your organization manages its KEY PROCESSES that support your learning-centered PROCESSES.

Within your response, include answers to the following questions:

a. Support PROCESSES

(1) HOW does your organization determine its KEY support PROCESSES? What are your KEY PROCESSES for supporting your learning-centered PROCESSES?

(2) HOW do you determine KEY support PROCESS requirements, incorporating input from faculty, staff, students, STAKEHOLDERS, suppliers, and PARTNERS, as appropriate? What are the KEY requirements for these PROCESSES?

(3) HOW do you design these PROCESSES to meet all the KEY requirements? HOW do you incorporate new technology and organizational knowledge into the design of these PROCESSES? HOW do you incorporate CYCLE TIME, PRODUCTIVITY, cost control, and other efficiency and effectiveness factors into the design of the PROCESSES? HOW do you implement these PROCESSES to ensure they meet design requirements?

(4) What are your KEY PERFORMANCE MEASURES or INDICATORS used for the control and improvement of your support PROCESSES? HOW does your day-to-day operation of KEY support PROCESSES ensure meeting KEY PERFORMANCE requirements? HOW are in-process MEASURES used in managing these PROCESSES? HOW is student, STAKEHOLDER, faculty, staff, supplier, and PARTNER input used in managing these PROCESSES, as appropriate?

(5) HOW do you minimize overall costs associated with inspections, tests, and PROCESS or PERFORMANCE audits of support PROCESSES, as appropriate? HOW do you prevent errors and rework?

(6) HOW do you improve your support PROCESSES to achieve better PERFORMANCE, to reduce variability, and to keep them current with organizational needs and directions? HOW are improvements shared with other organizational units and PROCESSES?

Notes:

N1. Your key support processes are those that are considered most important for support of your organization's learning-centered processes that deliver your educational programs and offerings and student services. These might include processes for finance and accounting; plant and facilities management; legal, human resource, and marketing services; information services; public relations; central receiving; purchasing; management of suppliers and/or partners; and secretarial and other administrative services.

N2. The results of improvements in your key support processes and key support process performance results should be reported in Item 7.5.

For additional description of this Item, see pages 54–55.

7 Organizational Performance Results (450 pts.)

The *Organizational* ***Performance Results*** Category examines your organization's PERFORMANCE and improvement in KEY areas—student learning RESULTS; student- and STAKEHOLDER-focused RESULTS; budgetary, financial, and market PERFORMANCE; faculty and staff RESULTS; operational PERFORMANCE; and GOVERNANCE and social responsibility. Also examined are PERFORMANCE LEVELS relative to those of competitors and comparable organizations.

7.1 Student Learning Results (150 pts.) — Results

Summarize your organization's KEY student learning RESULTS. Segment your RESULTS by student and market segments, as appropriate. Include appropriate comparative data relative to competitors and to comparable organizations and student populations.

Provide data and information to answer the following questions:

a. Student Learning RESULTS
What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of student learning and improvement in student learning? HOW do these RESULTS compare with data from competitors and other appropriate student and market segments?

Notes:

N1. Student learning results reported in this Item should relate to the key student learning features identified as student and stakeholder requirements or expectations in P.1b(2) based on information gathered in Items 3.1 and 3.2. The measures or indicators should address factors that affect student and stakeholder preferences, such as those included in Item 3.1, Note 2.

N2. Results reported in Item 7.1 might be based upon a variety of assessment methods that reflect the organization's overall mission and primary improvement objectives and that together represent holistic appraisals of student learning. For some recently implemented measures and assessment methods, data might not yet be sufficient to demonstrate meaningful trends. Such data should be reported, because they provide useful information regarding the organization's current performance levels. Results may include data indicating performance of recent graduates.

N3. Demonstrations of improvement in student learning should be normalized to comparable student populations, i.e., performance indicators for students with similar characteristics. Methods for demonstrating improvement in student learning might involve longitudinal and cohort studies. Results covering three years or more are preferred.

For additional description of this Item, see page 55.

7.2 Student- and Stakeholder-Focused Results (60 pts.) — Results

Summarize your organization's KEY student- and STAKEHOLDER-focused RESULTS, including student and STAKEHOLDER satisfaction. Segment your RESULTS by STUDENT SEGMENTS, STAKEHOLDER groups, and market segments, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Student- and STAKEHOLDER-Focused RESULTS

(1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of students' and STAKEHOLDERS' satisfaction and dissatisfaction? HOW do these compare with competitors' and comparable organizations' LEVELS of student and STAKEHOLDER satisfaction?

(2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of student- and STAKEHOLDER-perceived VALUE, PERSISTENCE, positive referral, and other aspects of building relationships with students and STAKEHOLDERS, as appropriate?

Notes:

N1. Student and stakeholder satisfaction and dissatisfaction results reported in this Item should relate to determination methods and data described in Item 3.2. Results data might include feedback from students and stakeholders and their overall assessment of education and operations. Examples of student and stakeholder satisfaction and dissatisfaction indicators are given in the Item 3.2 Notes.

N2. Current levels and trends in key measures and indicators of student satisfaction relative to competitors and comparable organizations (7.2a[1]) might include gains and losses of your students from or to other schools or alternative means of education, such as home schooling or corporate educational programs. Results also might include objective information and data from independent organizations and key stakeholders. Such objective information might include survey results, competitive awards, recognition, and ratings. The information and data should reflect comparative satisfaction (and dissatisfaction). Information on comparative performance of your students should be included in Item 7.1.

For additional description of this Item, see pages 55–56.

7.3 Budgetary, Financial, and Market Results (60 pts.)

Results

Summarize your organization's KEY budgetary, financial, and market PERFORMANCE RESULTS by segments, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Budgetary, Financial, and Market RESULTS

(1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of budgetary and financial PERFORMANCE, including MEASURES of cost containment, as appropriate?

(2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of market PERFORMANCE, including market share and new markets entered, as appropriate?

Notes:

N1. Responses to Item 7.3.a(1) might include measures such as instructional and general administration expenditures per student; income, expenses, reserves, and endowments; tuition and fee levels; cost per academic credit; annual grants/awards; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service.

N2. New markets entered (7.3a[2]) might include offering Web-based services or distance learning.

For additional description of this Item, see page 56.

7.4 Faculty and Staff Results (60 pts.)

Results

Summarize your organization's KEY faculty- and staff-related RESULTS, including WORK SYSTEM PERFORMANCE and faculty and staff learning, development, well-being, and satisfaction. Segment your RESULTS to address the diversity of your workforce and the different types and categories of faculty and staff, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Faculty- and Staff-Related RESULTS

(1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of WORK SYSTEM PERFORMANCE and effectiveness?

(2) What are your current LEVELS and TRENDS in KEY MEASURES of faculty and staff learning and development?

(3) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of faculty and staff well-being, satisfaction, and dissatisfaction?

Notes:

N1. Results reported in this Item should relate to activities described in Category 5. Your results should be responsive to key process needs described in Category 6 and to your organization's action plans and human resource plans described in Item 2.2.

N2. Appropriate measures and indicators of work system performance and effectiveness (7.4a[1]) might include collaboration and teamwork; knowledge and skill sharing across work functions, units, and locations; faculty and staff retention; and flexibility. Additional indicators for staff performance might be simplification of the job and of the job classification, as well as job rotation.

N3. Appropriate measures and indicators of faculty and staff learning and development (7.4a[2]) might include innovation and suggestion rates, courses or educational programs completed, learning, on-the-job performance improvements, and cross-training rates.

N4. For appropriate measures of faculty and staff well-being and satisfaction (7.4a[3]), see the Item 5.3 Notes.

For additional description of this Item, see pages 56–57.

7.5 Organizational Effectiveness Results (60 pts.)

Results

Summarize your organization's KEY operational PERFORMANCE RESULTS that contribute to opportunities for enhanced learning and to the achievement of organizational effectiveness. Segment your RESULTS by student and market segments, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Organizational Effectiveness RESULTS

(1) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the operational PERFORMANCE of your KEY learning-centered PROCESSES? Include school capacity to improve student PERFORMANCE, student development, the education climate, INDICATORS of responsiveness to student or STAKEHOLDER needs, supplier and PARTNER PERFORMANCE, and other appropriate MEASURES of effectiveness and efficiency.

(2) What are your current LEVELS and TRENDS in KEY MEASURES or INDICATORS of the operational PERFORMANCE of your KEY support PROCESSES? Include PRODUCTIVITY, CYCLE TIME, supplier and PARTNER PERFORMANCE, and other appropriate MEASURES of effectiveness and efficiency.

(3) What are your RESULTS for KEY MEASURES or INDICATORS of accomplishment of organizational strategy and ACTION PLANS?

Notes:

N1. Results reported in Item 7.5 should address your key operational requirements and progress toward accomplishment of your key organizational performance goals as presented in the Organizational Profile and in Items 1.1, 2.2, 6.1, and 6.2. Include results of mission-specific research and outreach processes, as appropriate. Include results not reported in Items 7.1–7.4.

For additional description of this Item, see page 57.

N2. Results reported in Item 7.5 should provide key information for analysis (Item 4.1) and review (Item 1.1) of your organizational performance and should provide the operational basis for improved student learning results (Item 7.1); student- and stakeholder-focused results (Item 7.2); and budgetary, financial, and market results (Item 7.3).

7.6 Governance and Social Responsibility Results (60 pts.)

Results

Summarize your organization's KEY GOVERNANCE and social responsibility RESULTS, including evidence of fiscal accountability, ethical behavior, legal compliance, and organizational citizenship. Segment your RESULTS by work units, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. GOVERNANCE and Social Responsibility RESULTS

(1) What are your KEY current findings and TRENDS in KEY MEASURES or INDICATORS of fiscal accountability, both internal and external, as appropriate?

(2) What are your RESULTS for KEY MEASURES or INDICATORS of ethical behavior and of STAKEHOLDER trust in the GOVERNANCE of your organization?

(3) What are your RESULTS for KEY MEASURES or INDICATORS of regulatory and legal compliance?

(4) What are your RESULTS for KEY MEASURES or INDICATORS of organizational citizenship in support of your KEY communities?

Notes:

N1. Responses to 7.6a(1) might include financial statement issues and risks, important internal and external auditor recommendations, and your senior leaders' response to these matters.

N2. For examples of measures of ethical behavior and stakeholder trust (7.6a[2]), see Note 2 to Item 1.2.

For additional description of this Item, see page 57.

N3. Regulatory and legal compliance results (7.6a[3]) should address requirements described in 1.2a. Organizational citizenship results (7.6a[4]) should address support for the key communities discussed in 1.2c.

Glossary of Key Terms

This Glossary of Key Terms defines and briefly describes terms used throughout the Education Criteria booklet that are important to performance management. As you may have noted, key terms are more easily identified in this version of the Criteria when they appear in the Categories and Scoring Guidelines sections. In these sections, key terms are presented in SMALL CAPS/SANS SERIF to indicate that more information is available in the glossary.

Action Plans

The term "action plans" refers to specific actions that respond to short- and longer-term strategic objectives. Action plans include details of resource commitments and time horizons for accomplishment. Action plan development represents the critical stage in planning when strategic objectives and goals are made specific so that effective, organization-wide understanding and deployment are possible. In the Criteria, deployment of action plans includes creation of aligned measures for work units. Deployment might also require specialized training for some faculty and staff or recruitment of personnel.

An example of a strategic objective for an education organization might be to achieve student performance in the top quartile of the state's schools on a normalized test that is given annually. Action plans likely would entail determining in which subjects students have had the lowest scores, understanding skill deficiencies in those subjects, and developing curricula that enable students to master those skills. Performance requirements might include faculty training in instructional and assessment methods. Organizational-level analysis and review likely would emphasize student learning, budgetary performance, and student and stakeholder satisfaction.

See the definition of "strategic objectives" on page 40 for the description of this related term.

Active Learning

The term "active learning" refers to interactive instructional techniques that engage students in such higher-order thinking tasks as analysis, synthesis, and evaluation. Students engaged in active learning might use resources beyond the faculty, such as libraries, Web sites, interviews, or focus groups, to obtain information. They may demonstrate their abilities to analyze, synthesize, and evaluate through projects, presentations, experiments, simulations, internships, practicums, independent study projects, peer teaching, role playing, or written documents. Students involved in active learning often organize their work, research information, discuss and explain ideas, observe demonstrations or phenomena, solve problems, and formulate questions of their own. Active learning is often combined with cooperative or collaborative learning in which students work interactively in teams that promote interdependence and individual accountability to accomplish a common goal. In addition, active learning may address multiple intelligences.

Alignment

The term "alignment" refers to consistency of plans, processes, information, resource decisions, actions, results, analysis, and learning to support key organization-wide goals. Effective alignment requires a common understanding of purposes and goals and use of complementary measures and information for planning, tracking, analysis, and improvement at three levels: the organizational level/senior leader level; the key process level; and the program, school, class, or individual level.

See the definition of "integration" on page 37 for the description of this related term.

Analysis

The term "analysis" refers to an examination of facts and data to provide a basis for effective decisions. Analysis often involves the determination of cause-effect relationships. Overall organizational analysis guides process management toward achieving key organizational results and toward attaining strategic objectives.

Despite their importance, individual facts and data do not usually provide an effective basis for actions or setting priorities. Actions depend on an understanding of relationships, derived from analysis of facts and data.

Anecdotal

The term "anecdotal" refers to process information that lacks specific methods, measures, deployment mechanisms, and evaluation/improvement/learning factors. Anecdotal information frequently uses examples and describes individual activities rather than systematic processes.

An anecdotal response to how senior leaders deploy performance expectations might describe a specific occasion when a senior leader visited all of the organization's facilities. On the other hand, a systematic approach might describe the communication methods used by all senior leaders to deliver performance expectations on a regular basis, the measures used to assess effectiveness of the methods, and the tools and techniques used to evaluate and improve the communication methods.

Approach

The term "approach" refers to how an organization addresses the Baldrige Criteria Item requirements, i.e., the methods and processes used by the organization. Approaches are evaluated on the basis of the appropriateness of the methods and processes to the Item requirements, the effectiveness of their use, and their alignment with organizational needs. For further description, see the Scoring System on pages 58–60.

Basic Requirements

The term "basic requirements" refers to the most central concept of an Item. Basic requirements are the fundamental theme of that Item.

In the Criteria, the basic requirements of each Item are presented as the Item title. This presentation is illustrated in the Item format shown on page 61.

Benchmarks

The term "benchmarks" refers to processes and results that represent best practices and performance for similar activities, inside or outside the education community. Organizations engage in benchmarking as a process to understand the current dimensions of world-class performance and to achieve discontinuous (nonincremental) or breakthrough improvement.

Benchmarks are one form of comparative data. Other comparative data organizations might use include appropriate data collected by a third party (frequently averages for other organizations), data on performance of comparable education organizations and competitors, and comparisons with similar organizations in the same geographic area.

Cycle Time

The term "cycle time" refers to the time required to fulfill commitments or to complete tasks. Time measurements play a major role in the Criteria because of the great importance of responsiveness and of time performance to improving competitiveness. "Cycle time" refers to all aspects of time performance. Cycle time improvement might include time to respond to changing student and stakeholder needs, design time for new programs and processes, and other key measures of time.

Deployment

The term "deployment" refers to the extent to which an organization's approach is applied to the requirements of a Baldrige Criteria Item. Deployment is evaluated on the basis of the breadth and depth of application of the approach to relevant processes and work units throughout the organization. For further description, see the Scoring System on pages 58–60.

Education Delivery

The term "education delivery" refers to the deployment of instructional approaches—modes of teaching and organizing activities and experiences so that effective learning takes place. Education delivery may include active learning, cooperative or collaborative learning, distance education, distributed learning, on-line tutorials, guided discussion lists, video streaming, teleconferencing, or self-paced learning. See also the definition of "active learning" on page 35.

Effective

The term "effective" refers to how well an approach, a process, or a measure addresses its intended purpose. Determining effectiveness requires the evaluation of how well a need is met by the approach taken, its deployment, or the measure used.

Empowerment

The term "empowerment" refers to giving faculty and staff the authority and responsibility to make decisions and take actions. Empowerment results in decisions being made closest to students and stakeholders, where work-related knowledge and understanding reside.

Empowerment is aimed at enabling faculty and staff to respond to students' educational needs, to improve processes, and to improve student learning and organizational performance results. Empowered faculty and staff require information to make appropriate decisions; thus, an organizational requirement is to provide that information in a timely and useful way.

Formative Assessment

The term "formative assessment" refers to frequent or ongoing evaluation during courses, programs, or learning experiences that gives an early indication of what students are learning, as well as their strengths and weaknesses. Formative assessment is often used as a diagnostic tool for students and faculty, providing information with which to make real-time improvements in instructional methods, materials, activities, techniques, and approaches. Approaches to formative assessment might include daily, weekly, or midterm projects; portfolios; journals; observations of the learning process and learning outcomes; discussion groups; performances; self-assessments; or examinations that occur during courses, when students and faculty can benefit from the information and improve.

Goals

The term "goals" refers to a future condition or performance level that one intends to attain. Goals can be both short term and longer term. Goals are ends that guide actions. Quantitative goals, frequently referred to as "targets," include a numerical point or range. Targets might be projections based on comparative and/or competitive data. The term "stretch goals" refers to desired major, discontinuous (nonincremental) or breakthrough improvements, usually in areas most critical to your organization's future success.

Goals can serve many purposes, including

- clarifying strategic objectives and action plans to indicate how success will be measured
- fostering teamwork by focusing on a common end
- encouraging "out-of-the-box" thinking to achieve a stretch goal
- providing a basis for measuring and accelerating progress

Governance

The term "governance" refers to the system of management and controls exercised in the stewardship of your organization. It includes the responsibilities of your governing body, e.g., board of education, board of trustees/overseers, and the senior leaders of your organization; in some private education institutions, it may also include owners/shareholders. A combination of federal, state, and municipal regulations, charters, by-laws, and policies documents the rights and responsibilities of each of the parties and describes how your organization will be directed and controlled to ensure (1) accountability to stakeholders, (2) transparency of operations, and (3) fair treatment of all stakeholders. Governance processes may include approving strategic direction, creating and enforcing policy, monitoring and evaluating senior leaders' performance, succession planning, financial auditing, establishing senior leaders' compensation and benefits, and managing risk. Ensuring effective governance is important to stakeholders' and the larger society's trust and to organizational effectiveness.

High-Performance Work

The term "high-performance work" refers to work approaches used to systematically pursue ever-higher levels of overall organizational and individual performance, including quality, productivity, innovation rate, and cycle time performance. High-performance work results in improved programs and services for students and stakeholders.

Approaches to high-performance work vary in form, function, and incentive systems. Effective approaches frequently include cooperation among senior leaders, administrators, faculty, and staff, which may involve workforce bargaining units; cooperation among work units, often involving teams; self-directed responsibility/faculty and staff empowerment; faculty and staff input to planning; individual and organizational skill building and learning; learning from other organizations; flexibility in job design and work assignments; a flattened organizational structure, where decision making is decentralized and decisions are made closest to the students and stakeholders; and effective use of performance measures, including comparisons. Many high-performance work systems use monetary and nonmonetary incentives based upon factors such as organizational performance, team and/or individual contributions, and skill building. Also, high-performance work approaches usually seek to align the organization's structure, work, jobs, faculty and staff development, and incentives.

How

The term "how" refers to the processes that an organization uses to accomplish its mission requirements. In responding to "how" questions in the Approach-Deployment Item requirements, process descriptions should include information such as methods, measures, deployment, and evaluation/improvement/learning factors.

Innovation

The term "innovation" refers to making meaningful change to improve programs, services, and processes and create new value for students and stakeholders. Innovation involves the adoption of an idea, process, technology, or product that is either new or new to its proposed application.

Successful organizational innovation is a multistep process that involves development and knowledge sharing, a decision to implement, implementation, evaluation, and learning. Although innovation is often associated with technological innovation, it is applicable to all key organizational processes that would benefit from change, whether through breakthrough improvement or change in approach or outputs.

Integration

The term "integration" refers to the harmonization of plans, processes, information, resource decisions, actions, results, analysis, and learning to support key organization-wide goals. Effective integration is achieved when the individual components of a performance management system operate as a fully interconnected unit.

See the definition of "alignment" on page 35 for the description of this related term.

Key

The term "key" refers to the major or most important elements or factors, those that are critical to achieving your intended outcome. The Baldrige Criteria, for example, refer to key challenges, key plans, key processes, and key measures—those that are most important to the organization's success. They are the essential elements for pursuing or monitoring a desired outcome.

Knowledge Assets

The term "knowledge assets" refers to the accumulated intellectual resources of your organization. It is the knowledge possessed by your organization and its faculty and staff in the form of information, ideas, learning, understanding, memory, insights, cognitive and technical skills, and capabilities. Faculty and staff, curricula, software, databases, documents, guides, and policies and procedures are repositories of an organization's knowledge assets. Knowledge assets are held not only by an organization but reside within its students and stakeholders, suppliers, and partners as well.

Knowledge assets are the "know how" that your organization has available to use, to invest, and to grow. Building and managing its knowledge assets are key components for the organization to create value for its students and stakeholders.

Leadership System

The term "leadership system" refers to how leadership is exercised, formally and informally, throughout the organization—the basis for and the way that key decisions are made, communicated, and carried out. It includes structures and mechanisms for decision making; selection and development of senior leaders, administrators, department heads, and faculty leaders; and reinforcement of values, directions, and performance expectations.

An effective leadership system respects the capabilities and requirements of faculty and staff and other stakeholders, and it sets high expectations for performance and performance improvement. It builds loyalties and teamwork based on the organization's values and the pursuit of shared goals. It encourages and supports initiative and appropriate risk taking, subordinates organization to purpose and function, and avoids chains of command that require long decision paths. An effective leadership system includes mechanisms for the leaders to conduct self-examination, receive feedback, and improve.

Levels

The term "levels" refers to numerical information that places or positions an organization's results and performance on a meaningful measurement scale. Performance levels permit evaluation relative to past performance, projections, goals, and appropriate comparisons.

Measures and Indicators

The term "measures and indicators" refers to numerical information that quantifies input, output, and performance dimensions of programs, offerings, processes, services, and the overall organization (outcomes). Measures and indicators might be simple (derived from one measurement) or composite.

The Criteria do not make a distinction between measures and indicators. However, some users of these terms prefer the term "indicator" (1) when the measurement relates to performance but is not a direct measure of such performance (e.g., the number of complaints is an indicator of dissatisfaction but not a direct measure of it) and (2) when the measurement is a predictor ("leading indicator") of some more significant performance (e.g., a gain in student performance or satisfaction might be a leading indicator of student persistence).

Mission

The term "mission" refers to the overall function of an organization. The mission answers the question, "What is this organization attempting to accomplish?" The mission might define students, stakeholders, or markets served; distinctive competencies; or technologies used.

Multiple Requirements

The term "multiple requirements" refers to the individual questions Criteria users need to answer within each Area to Address. These questions constitute the details of an Item's requirements. They are presented in black text under each Item's Area(s) to Address. This presentation is illustrated in the Item format shown on page 61.

Overall Requirements

The term "overall requirements" refers to the topics Criteria users need to address when responding to the central theme of an Item. Overall requirements address the most significant features of the Item requirements.

In the Criteria, the overall requirements of each Item are presented as an introductory sentence(s) printed in bold. This presentation is illustrated in the Item format shown on page 61.

Partners

The term "partners" refers to other schools, employers and workplaces, social service organizations, private foundations, and parents, as appropriate, with which your organization has cooperative relationships for purposes of ensuring that effective learning occurs for students. Partners might include schools with which "feeder" relationships exist, into or out of your school. Partnerships with social service organizations might involve helping students make effective transitions. Private foundations might support targeted or comprehensive reform efforts through a partnership with the school.

Performance

The term "performance" refers to output results and their outcomes obtained from processes and services that permit evaluation and comparison relative to goals, standards, past results, and other organizations. Performance might be expressed in nonfinancial and financial terms.

The Baldrige Education Criteria address four types of performance: (1) student- and stakeholder-related; (2) program and service; (3) budgetary, financial, and market; and (4) operational.

"Student- and stakeholder-related performance" refers to performance relative to measures and indicators of student and stakeholder perceptions, reactions, and behaviors. Examples include admissions, retention, complaints, and survey results. Student- and stakeholder-related performance generally relates to the organization as a whole.

"Program and service performance" refers to performance relative to measures and indicators of program and service characteristics important to students and stakeholders. Examples include the effectiveness of curriculum and instruction, assessment of student learning, participation in professional development opportunities, and student placement following program completion.

"Budgetary, financial, and market performance" refers to performance relative to measures of cost containment, budget utilization, and market share. Examples include instructional and general administration expenditures per student; income, expenses, reserves, endowments, and annual grants/awards; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service.

"Operational performance" refers to organizational, faculty and staff, and ethical performance relative to effectiveness, efficiency, and accountability measures and indicators. Examples include cycle time, productivity, accreditation, faculty and staff turnover, faculty and staff cross-training rates, regulatory compliance, fiscal accountability, and community involvement. Operational performance might be measured at the organizational/senior leader level; the key process level; and the program, school, class, or individual level.

Performance Excellence

The term "performance excellence" refers to an integrated approach to organizational performance management that results in (1) delivery of ever-improving value to students and stakeholders, contributing to improved education quality; (2) improvement of overall organizational effectiveness and capabilities; and (3) organizational and personal learning. The Baldrige Education Criteria for Performance Excellence provide a framework and an assessment tool for understanding organizational strengths and opportunities for improvement and thus for guiding planning efforts.

Performance Projections

The term "performance projections" refers to estimates of future performance or goals for future results. Projections may be inferred from past performance, may be based on the performance of comparable or competitive organizations, or may be predicted based on changes in a dynamic education market. Projections integrate estimates of your organization's rate of improvement and change, and they may be used to indicate where breakthrough improvement or change is needed. Thus, performance projections serve as a key planning management tool.

Persistence

The term "persistence" refers to the continued attendance by students (from term-to-term, semester-to-semester, grade-to-grade, or class-to-class) toward the completion of an educational goal or training objective.

Process

The term "process" refers to linked activities with the purpose of producing a program or service for students and/or stakeholders within or outside the organization. Generally, processes involve combinations of people, machines, tools, techniques, and materials in a systematic series of steps or actions. In some situations, processes might require adherence to a specific sequence of steps, with documentation (sometimes formal) of procedures and requirements, including well-defined measurement and control steps.

In service situations such as education, particularly when those served are directly involved in the service, process is used in a more general way, i.e., to spell out what must be done, possibly including a preferred or expected sequence. If a sequence is critical, the service needs to include information to help those served understand and follow the sequence. Such service processes also require guidance to the providers of those services on handling contingencies related to possible actions or behaviors of those served.

In knowledge work such as teaching, strategic planning, research, development, and analysis, process does not necessarily imply formal sequences of steps. Rather, process implies general understandings regarding competent performance such as timing, options to be included, evaluation, and reporting. Sequences might arise as part of these understandings.

Productivity

The term "productivity" refers to measures of the efficiency of resource use.

Although the term often is applied to single factors such as staffing, machines, materials, and capital, the productivity concept applies as well to the total resources used in meeting the organization's objectives. The use of an aggregate measure of overall productivity allows a determination of whether the net effect of overall changes in a process—possibly involving resource tradeoffs—is beneficial.

Purpose

The term "purpose" refers to the fundamental reason that an organization exists. The primary role of purpose is to inspire an organization and guide its setting of values. Purpose is generally broad and enduring. Two organizations providing different educational services could have similar purposes, and two organizations providing similar educational services could have different purposes.

Results

The term "results" refers to outputs and outcomes achieved by an organization in addressing the purposes of a Baldrige Criteria Item. Results are evaluated on the basis of current performance; performance relative to appropriate comparisons; the rate, breadth, and importance of performance improvements; and the relationship of results measures to key organizational performance requirements. For further description, see the Scoring System on pages 58–60.

Senior Leaders

The term "senior leaders" refers to those with the main responsibility for managing the overall organization. Senior leaders might include administrators, department heads, and/or faculty leaders. In many organizations, senior leaders include the head of the organization and his or her direct reports.

Stakeholders

The term "stakeholders" refers to all groups that are or might be affected by an organization's actions and success. Examples of key stakeholders include parents, parent organizations, faculty, staff, boards, alumni, employers, other schools, funding entities, and local/professional communities. Although students are commonly thought of as stakeholders, for purposes of emphasis and clarity, the Criteria refer to students and stakeholders separately.

Strategic Challenges

The term "strategic challenges" refers to those pressures that exert a decisive influence on an organization's likelihood of future success. These challenges frequently are driven by an organization's future competitive position relative to other providers of similar products or services. While not exclusively so, strategic challenges generally are externally driven. However, in responding to externally driven strategic challenges, an organization may face internal strategic challenges.

External strategic challenges may relate to student, stakeholder, or market needs or expectations; changes in educational programs or offerings; technological changes; or budgetary, financial, societal, and other risks. Internal strategic challenges may relate to an organization's capabilities or its faculty, staff, and other resources.

See the definition of "strategic objectives" below for the relationship between strategic challenges and the strategic objectives an organization articulates to address key challenges.

Strategic Objectives

The term "strategic objectives" refers to an organization's articulated aims or responses to address major change and improvement, competitiveness issues, and/or education advantages. Strategic objectives generally are focused externally and relate to significant student, stakeholder, market, program, service, or technological opportunities and challenges (strategic challenges). Broadly stated, they are what an organization must achieve to remain or become competitive. Strategic objectives set an organization's longer-term directions and guide resource allocations and redistributions.

See the definition of "action plans" on page 35 for the relationship between strategic objectives and action plans and for an example of each.

Student Segments

The term "student segments" refers to groups of students with similar needs. The basis for the groupings might reflect their career interests, learning styles, service delivery (e.g., classroom or Web-based), living status (e.g., residential versus commuter), mobility, special needs, or other factors.

Summative Assessment

The term "summative assessment" refers to longitudinal analysis of the learning and performance of students and alumni. Summative assessments tend to be formal and comprehensive, and they often cover global subject matter. Such assessments may be conducted at the conclusion of a course or program and could be compared to the results of pretesting to determine gains and to clarify the causal connections between educational practices and student learning. They may be used for purposes of determining final grades, placement, and promotion, as well as for licensure or certification.

Systematic

The term "systematic" refers to approaches that are repeatable and use data and information so that improvement and learning are possible. In other words, approaches are systematic if they build in the opportunity for evaluation and learning and thereby permit a gain in maturity. For use of the term, see the Scoring Guidelines on page 59.

Trends

The term "trends" refers to numerical information that shows the direction and rate of change for an organization's results. Trends provide a time sequence of organizational performance.

A minimum of three data points generally is needed to begin to ascertain a trend. The time period for a trend is determined by the cycle time of the process being measured. Shorter cycle times demand more frequent measurement, while longer cycle times might require longer periods before a meaningful trend can be determined.

Examples of trends called for by the Criteria include student learning results; student, stakeholder, faculty, and staff satisfaction and dissatisfaction results; education design and delivery and student service performance; budgetary, financial, and market performance; and operational performance, such as cycle time, support process, supplier/partner, and safety performance.

Value

The term "value" refers to the perceived worth of a program, service, process, asset, or function relative to cost and relative to possible alternatives.

Organizations frequently use value considerations to determine the benefits of various options relative to their costs, such as the value of various educational offerings and service combinations to students or stakeholders. Organizations need to understand what different student and stakeholder groups value and then deliver value to each group. This frequently requires balancing value for students and stakeholders, such as businesses, faculty, staff, and the community.

Value Creation

The term "value creation" refers to processes that produce benefit for students and stakeholders and for the organization. They are the processes most important to "running your organization"—those that involve the majority of faculty and staff and generate programs, services, and offerings, as well as positive organizational results for students and key stakeholders.

Values

The term "values" refers to the guiding principles and behaviors that embody how your organization and its people are expected to operate. Values reflect and reinforce the desired culture of an organization. Values support and guide the decision making of all faculty and staff, helping the organization to accomplish its mission and attain its vision in an appropriate manner.

Vision

The term "vision" refers to the desired future state of your organization. The vision describes where the organization is headed, what it intends to be, or how it wishes to be perceived.

Work Systems

The term "work systems" refers to how your faculty and staff are organized into formal or informal units to accomplish your mission and your strategic objectives; how job responsibilities are managed; and your processes for compensation, faculty and staff performance management, recognition, communication, hiring, and succession planning. Organizations design work systems to align their components to enable and encourage all faculty and staff to contribute effectively and to the best of their ability.

Leadership (Category 1)

Leadership addresses how your senior leaders guide your organization in setting organizational values, directions, and performance expectations. Attention is given to how your senior leaders communicate with faculty and staff, review organizational performance, and create a learning environment that encourages high performance. The Category also includes your organization's governance system, its responsibilities to the public, and how your organization practices good citizenship.

1.1 Organizational Leadership

Purpose

This Item examines the key aspects of your organization's leadership and governance systems. It also examines how leadership and organizational performance are reviewed. It focuses on the actions of your senior leaders to create and sustain a high-performance organization and an environment conducive to learning, student development, and achievement.

Requirements

You are asked how your senior leaders set and deploy organizational values, short- and longer-term directions, and performance expectations, and how they address the needs of all students and stakeholders. This includes how leaders create an environment for empowerment, innovation, organizational agility, safety, equity, organizational and faculty and staff learning, and ethical behavior.

You are asked how your governance system ensures accountability, independence in audits, and protection of stakeholder interests.

You also are asked how your senior leaders review organizational performance, what key performance measures they regularly review, and how review findings are used to drive improvement and innovation, including improvement in the effectiveness of your leaders and governing bodies (e.g., boards of education, trustees, overseers).

Comments

- Leadership's central roles in setting values and directions, creating and balancing value for all students and stakeholders, and driving and reviewing performance are the focus of this Item. Success requires a strong orientation to the future and a commitment to both improvement and innovation. Increasingly, this requires creating an environment for empowerment and agility, as well as the means for rapid and effective application of knowledge that takes into account key developmental needs of students, including self-motivation, study habits, the ability to function in groups, citizenship, and character development.
- The organizational governance requirement is intended to address the need for a responsible, informed, and accountable governance/policy-making body that can protect the interests of key stakeholders. It should have independence in review and audit functions. It should also have a performance evaluation function that monitors organizational and senior leaders' performance.
- The organizational review called for in this Item is intended to cover all areas of performance. This includes not only how well you currently are performing but also how well you are moving toward the future. It is anticipated that the review findings will provide a reliable means to guide both improvement and opportunities for innovation that are tied to your organization's key objectives, success factors, and measures. Therefore, an important component of your senior leaders' organizational review is the translation of the review findings into an action agenda sufficiently specific for deployment throughout your organization and to your suppliers, partners, students, and key stakeholders.

1.2 Social Responsibility

Purpose

This Item examines how your organization fulfills its public responsibilities, ensures that you and your partners behave ethically, and encourages, supports, and practices good citizenship, working effectively with key communities to extend your organization's service opportunities.

Requirements

You are asked how your organization addresses its current and future impacts on society in a proactive manner and how you accomplish ethical practices in all student and stakeholder interactions. The impacts and practices are expected to cover all relevant and important requirements—safety, regulatory, legal, ethical, and accreditation. You are asked for your key measures for monitoring regulatory and legal compliance and ethical behavior.

You also are asked how your organization, your senior leaders, your faculty and staff, and your students identify, support, and strengthen your key communities as part of good citizenship practices.

Comments

- An integral part of performance management and improvement is proactively addressing (1) the need for ethical behavior; (2) legal, regulatory, and accreditation requirements; and (3) risk factors. Addressing these areas requires establishing appropriate measures or indicators that senior leaders track in their overall performance review. Your organization should be sensitive to issues of public concern, whether or not these issues are currently embodied in law. Role model organizations look for opportunities to exceed requirements and to excel in areas of legal and ethical behavior.

- Citizenship implies going beyond a compliance orientation. Good citizenship opportunities are available to organizations of all sizes. These opportunities include encouraging and supporting the community service of your faculty and staff.
- Public responsibility may address a variety of issues or concerns, such as taxpayer costs, safety in the school, storage of hazardous materials, and recycling of materials, as appropriate.
- Examples of organizational community involvement include efforts by the organization, senior leaders, and faculty and staff to strengthen community services, the environment, athletic associations, and professional associations. Community involvement might also involve students, giving them the opportunity to develop social and citizenship values and skills.

Strategic Planning (Category 2)

Strategic Planning addresses strategic and action planning, deployment of plans, and how accomplishments are measured and sustained. The Category stresses that learning-centered education and operational performance are key strategic issues that need to be integral parts of your organization's overall planning.

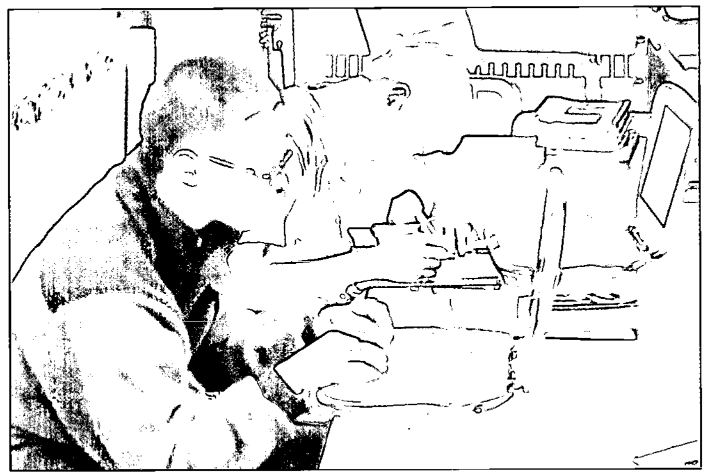
Specifically,

- learning-centered education is a strategic view of education. The focus is on the drivers of student learning, student persistence, student and stakeholder satisfaction, new markets, and market share—key factors in educational success. Learning-centered education focuses on the real needs of students, including those derived from market requirements and citizenship responsibilities.
- operational performance improvement contributes to short- and longer-term productivity growth and cost containment. Building operational capability—including speed, responsiveness, and flexibility—represents an investment in strengthening your organizational fitness.

The Criteria emphasize that improvement and learning need to be embedded in work processes. The special role of strategic planning is to align work processes with your organization's strategic directions, thereby ensuring that improvement and learning reinforce organizational priorities.

The Strategic Planning Category examines how your organization

- understands the key student, stakeholder, market, and societal requirements as input to setting strategic directions. This helps to ensure that ongoing process improvements and change are aligned with your organization's strategic directions.
- optimizes the use of resources, ensures the availability of well-prepared faculty and staff, and bridges short- and longer-term requirements that may entail capital expenditures, technology development or acquisition, or development of partnerships with feeder schools.
- ensures that deployment will be effective—that there are mechanisms to communicate requirements and achieve alignment on three levels: (1) the organization and the senior leader level; (2) the key process level; and (3) the work unit, school, class, or individual level.



The requirements in the Strategic Planning Category encourage strategic thinking and acting—to develop a basis for a distinct leadership position in your market. *These requirements do not imply formalized plans, planning systems, departments, or specific planning cycles.* They also do not imply that all your improvements could or should be planned in advance. An effective improvement system combines improvements of many types and degrees of involvement. This requires clear strategic guidance, particularly when improvement alternatives, including major change, compete for limited resources. The requirements in the Category emphasize a future-oriented basis for decisions and priorities.

2.1 Strategy Development

Purpose

This Item examines how your organization sets strategic directions and develops your strategic objectives, guiding and developing key educational and other associated performance requirements.

Requirements

You are asked to outline your organization's strategic planning process, including identifying key participants, key steps, and your planning time horizons. You are asked how you consider key factors that affect your organization's future. These factors cover external and internal influences on your organization. You are asked to address each factor and outline how relevant data and information are gathered and analyzed.

You also are asked to summarize your key strategic objectives and your timetable for accomplishing them. Finally, you are asked how these objectives address the challenges outlined in your Organizational Profile.

Comments

- This Item calls for basic information on the planning process and for information on all the key influences, risks, challenges, and other requirements that might affect your organization's future opportunities and directions—taking as long term a view as possible. This approach is intended to provide a thorough and realistic context for the development of a student-, stakeholder-, and market-focused strategy to guide ongoing decision making, resource allocation, and overall management.
- This Item is intended to cover all types of education organizations, market situations, strategic issues, planning approaches, and plans. The requirements explicitly call for a future-oriented basis for action but do not imply formalized planning, planning departments, planning cycles, or a specified way of visualizing the future. Even if your organization is seeking to create an entirely new program, structure, or situation, it is still necessary to set and to test the objectives that define and guide critical actions and performance.
- This Item emphasizes how the organization develops a competitive leadership position in its educational offerings, which usually depends on operational effectiveness. A competitive leadership position requires a view of the future that includes not only the market in which your organization competes but also how it competes. *How it competes* presents many options and requires that you understand your organization's and your competitors' strengths and weaknesses. Although no specific time horizons are included, the thrust of this Item is a sustained competitive leadership position.
- An increasingly important part of strategic planning is projecting the future competitive environment. Such projections help to detect and reduce competitive threats, to shorten reaction time, and to identify opportunities. Depending on student and stakeholder needs, external factors (e.g., changing requirements brought about by education mandates, instructional technology, or changing demographics), and internal factors (e.g., faculty and staff capabilities and needs), organizations might use a variety of modeling, scenarios, or other techniques and judgments to anticipate the competitive environment.

2.2 *Strategy Deployment*

Purpose

This Item examines how your organization converts your strategic objectives into action plans to accomplish the objectives. It also examines how your organization assesses progress relative to these action plans. The aim is to ensure that your strategies are deployed for goal achievement.

Requirements

You are asked how you develop and deploy action plans that address your organization's key strategic objectives, including the allocation of needed resources, and how you ensure that the key changes resulting from action plans can be sustained. You are asked to summarize your key short- and longer-term action plans. Particular attention is given to changes in services and programs; students, stakeholders, and markets; and how you will operate. You also are asked about your key human resource plans that will enable accomplishment of your strategic objectives and action plans.

You are asked to give your key measures or indicators used in tracking progress relative to the action plans and how you use these measures to achieve organizational alignment and coverage of all key work units, students, and stakeholders. Finally, you are asked to provide a projection of key performance measures or indicators. As part of this projection, you are asked how your projected performance compares with the projected performance of competitors and comparable organizations, key benchmarks, goals, and past performance.

Comments

- This Item asks how your action plans are developed and deployed. Accomplishment of action plans requires specifying key performance requirements, measures, and indicators for such areas as faculty/staff development plans and the use of learning technologies. Also include how resources are deployed, aligned, and tracked. Of central importance is how you achieve alignment and consistency—for example, via key learning strategies and key measurements. Also, alignment and consistency are intended to provide a basis for setting and communicating priorities for ongoing improvement activities—part of the daily work of all work units. In addition, performance measures are critical for tracking performance. Action plans include human resource plans that support your overall strategy.
- Key changes in your programs, offerings, and services or students, stakeholders, and markets might include Web-based or distance learning initiatives, integrated within or separate from your current educational offerings and programs. Key changes in your anticipated or planned student and stakeholder markets might include different admission requirements, attendance area changes, or new populations served.
- Examples of possible human resource plan elements are
  - education and training initiatives, including those that increase skills for assessment practices and increase

knowledge of student learning styles, as well as developmental assignments to prepare future leaders

- initiatives to promote greater labor-management cooperation, such as union partnerships
- creation or redesign of individual development and learning plans
- redesign of staff work organizations or jobs to increase staff responsibility and decision making
- initiatives to foster knowledge sharing and cross-functional interactions throughout the organization
- creation of opportunities through the redesign of processes or organizations for faculty and staff to learn and use skills that go beyond current job assignments
- formation of partnerships with the business community to support faculty or staff development
- introduction of distance learning or other technology-based learning approaches
- introduction of performance improvement initiatives

■ Projections and comparisons in this Item are intended to encourage your organization to improve its ability to understand and track dynamic, competitive performance factors. Through this tracking process, your organization should be better prepared to take into account its rate of improvement and change relative to that of competitors and comparable organizations and relative to your own targets or stretch goals. Such tracking serves as a key diagnostic tool.

■ In addition to improvement relative to past performance and the projected performance of competitors and comparable organizations, projected performance might include changes resulting from innovations in education delivery, addition or termination of programs, Web-based or distance learning initiatives, service or program innovations, or other strategic thrusts.

Student, Stakeholder, and Market Focus (Category 3)

Student, Stakeholder, and Market Focus addresses how your organization seeks to understand the needs of current and future students and stakeholders and to understand your markets, with a focus on delighting students and stakeholders, building loyalty, and meeting students' and stakeholders' expectations, as well as their requirements. The Category stresses relationships as an important part of an overall listening, learning, and performance excellence strategy. Although many of the needs of stakeholders must be translated into educational services for students, the stakeholders themselves have needs that organizations also must accommodate. A key challenge frequently may be to balance differing needs and expectations of students and stakeholders. Your student and stakeholder satisfaction and dissatisfaction results provide vital information for understanding your students, stakeholders, and markets. In many cases, such results and trends provide the most meaningful information, not only on your students' and stakeholders' views but also on their actions and behaviors—student persistence and positive referrals.

3.1 Student, Stakeholder, and Market Knowledge

Purpose

This Item examines your organization's key processes for gaining knowledge about your current and future student segments, stakeholders, and markets, with the aim of offering relevant and effective programs and services, understanding emerging student and stakeholder requirements and expectations, and keeping pace with market changes and changing methods of delivering educational services.

Requirements

You are asked how you determine key general and special requirements of current students and stakeholders and how you segment your students, stakeholders, and markets. You are asked how you determine and anticipate changing requirements and expectations of future students and stakeholders—taking into account the key factors that could affect these requirements and expectations—to support longer-term planning. You also are asked how these determinations include relevant information from current and former students and stakeholders.

Finally, you are asked how you keep your student and stakeholder listening and learning methods current with your changing educational service needs and directions.

Comments

■ Maintaining awareness of student and stakeholder requirements and expectations is critical to improve educational services and to support related planning. Student requirements, as addressed in this Item, should take into account information not only from students but also from stakeholders, e.g., families, employers, and other education organizations, as appropriate. Student requirements should be interpreted in a holistic sense to include knowledge, application of knowledge, problem solving, learning skills, interpersonal skills, character development, critical thinking skills, conflict resolution, and citizenship.

■ Knowledge of student, stakeholder, and market segments allows your organization to tailor listening and learning strategies and market offerings, to support and tailor your marketing strategies, and to develop new educational programs, services, and offerings.

■ To understand student and stakeholder requirements and expectations, it is necessary to consider all aspects of education content and delivery and of the learning environment, including safety. An important part of this information comes from observations of student utilization of offerings, facilities, and services to determine their influence on active learning. This requires organizations to use current knowledge about student development and learning, including academic, social, and ethical development.

- The determination of future requirements and expectations of students and stakeholders should take into account the following: demographic data and trends; changing requirements of graduates in the workplace or other schools; changing local, state, national, and global requirements; and education alternatives for prospective students. Changing requirements of graduates should reflect requirements set by stakeholders, taking into account paths followed by your organization's graduates. These requirements might include qualification standards, licensure requirements, workplace skills such as teamwork, and admission requirements.
- A variety of listening and learning strategies are commonly used. Selection depends on the type and size of the organization and other factors. Some examples are
  - building relationships with students, families, social service agencies, employers, alumni, and other stakeholders
  - tracking demographic, societal, economic, technological, competitive, and other factors that may bear upon student and stakeholder requirements, expectations, preferences, or alternatives
  - seeking to understand in detail students' and stakeholders' expectations and requirements and how they are likely to change

  - holding focus groups with students and/or stakeholders
  - using critical incidents, such as complaints, to understand key education and support service attributes from the point of view of students, stakeholders, faculty, and staff
  - interviewing students and stakeholders to determine the reasons students drop out or choose to enroll elsewhere
  - analyzing major factors affecting students and stakeholders relative to organizations providing similar educational services

3.2 *Student and Stakeholder Relationships and Satisfaction*

Purpose

This Item examines your organization's processes for building student and stakeholder relationships and determining student and stakeholder satisfaction, with the aim of enhancing student learning and the organization's ability to deliver its services, satisfy students and stakeholders, develop new opportunities, and foster continuing interactions and positive referrals.

Requirements

You are asked how you build relationships with current and potential students and stakeholders to meet and exceed their expectations, to increase loyalty, to deliver services, and to foster continuing interactions and positive referrals.

You are asked how you determine key student and stakeholder contact requirements and how these vary for different modes of access. As part of this response, you are asked to describe key access mechanisms for students and stakeholders to seek information and to make complaints. You are asked how these requirements are deployed to all people and processes involved in responding to students and stakeholders.

You are asked to describe your complaint management process. This description should include how you ensure prompt and effective problem resolution. The description also should cover how all complaints are aggregated and analyzed for use in improvement throughout your organization and by your partners, as appropriate.

You are asked how you keep your approaches to relationship building and student and stakeholder access current with your changing educational service needs and directions.

You are asked how you determine student and stakeholder satisfaction and dissatisfaction, including how you capture actionable information that reflects students' and stakeholders' future interactions and potential for positive referrals.

You are asked how you follow up on your interactions with students and key stakeholders to receive prompt and actionable feedback.

52

You are asked how you obtain and use information on student and stakeholder satisfaction relative to satisfaction with other organizations, competitors, and education community benchmarks so you can gauge your performance in the market.

Finally, you are asked how you keep your methods for determining student and stakeholder satisfaction current with your changing educational service needs and directions.

Comments

- This Item emphasizes how you obtain actionable information from students and stakeholders. Information that is actionable can be tied to key programs, services, and processes and be used to determine value, cost and revenue implications, and overall implications for setting improvement and change priorities.
- Relationships provide a potentially important means for education organizations to understand and manage student and stakeholder expectations, to develop new educational services, and to maintain a learning environment. Also, faculty and staff may provide vital information for building partnerships and other longer-term relationships with students and other stakeholders.
- Four key aspects of student and stakeholder relationships are addressed: (1) determining and deploying contact requirements, (2) maintaining effective relationships and partnerships to pursue common purposes, (3) using key measures and indicators to monitor the effectiveness of key relationships, and (4) promptly resolving complaints.
- The complaint management process might include performing analyses and setting priorities for improvement projects based upon their impact on student learning. Complaint aggregation, analysis, and root cause determination should lead to effective elimination of the causes of complaints and to setting priorities for overall organizational improvement. Successful outcomes require effective deployment of complaint-related information throughout the organization.
- Three types of requirements are important in determining student and stakeholder satisfaction:
  - The first is gathering information on student and stakeholder satisfaction, including any important differences in approaches for different student segments and stakeholder groups. A critical part of this process is how your organization's measurements capture key information that bears upon students' motivation and active learning and how objectivity and reliability of the measurements are ensured. Key information might include climate factors such as the quality of relationships, a sense of inclusion, and safety.
  - The second is following up with students and key stakeholders regarding services and recent interactions to determine satisfaction and to resolve problems quickly.
  - The final requirement is comparing the satisfaction of students and stakeholders to the satisfaction of these groups with competitors and organizations delivering similar educational services and to benchmarks. Such information might be derived from available published data or independent studies. The purpose of this comparison is to develop information that can be used for improving the delivery of educational, student, and support services and for creating an overall climate conducive to learning for all students.
- Changing educational service needs and directions might include new modes of student access, such as the Internet. In such cases, key requirements might include on-line security and access to personal assistance.

Measurement, Analysis, and Knowledge Management (Category 4)

The Measurement, Analysis, and Knowledge Management Category is the main point within the Criteria for all key information about effectively measuring and analyzing performance and managing organizational knowledge to drive improvement in student and operational performance. In the simplest terms, Category 4 is the "brain center" for the alignment of your organization's programs and offerings and its strategic objectives. Central to such use of data and information are their quality and availability. The Category addresses knowledge management and all basic performance-related information and comparative information, as well as how such information is analyzed and used to optimize organizational performance.

4.1 Measurement and Analysis of Organizational Performance

Purpose

This Item examines your organization's selection, management, and use of data and information for performance measurement and analysis in support of organizational planning and performance improvement. The Item serves as a central collection and analysis point in an integrated performance measurement and management system that relies on data and information related to student and operational performance, stakeholders, and budget issues. The aim of measurement and analysis is to guide your organization's process management toward the achievement of key education results and strategic objectives and to anticipate and respond to rapid or unexpected organizational or external changes.

Requirements

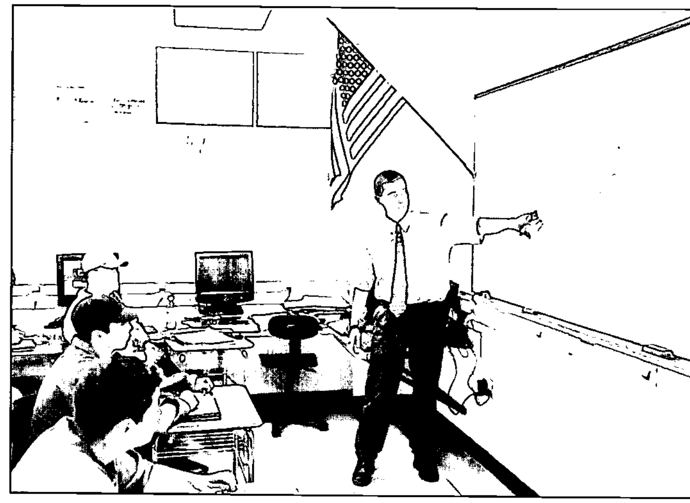
You are asked how you gather and integrate data and information for monitoring daily operations and supporting organizational decision making and how you select and use measures for tracking those operations and overall student and organizational performance. You also are asked how you select and use comparative data and information to support operational and strategic decision making and innovation. These requirements address the major components of an effective performance measurement system.

You are asked what analyses you perform to support your senior leaders' assessment of overall organizational performance and your strategic planning. You are asked how the results of organizational-level analysis are communicated to support decision making throughout your organization and are aligned with your education results, strategic objectives, and action plans.

Finally, you are asked how you keep your organization's performance measurement system current with changing educational service needs and directions and how you ensure your measurement system is sensitive to rapid and unexpected organizational and external changes.

Comments

- Alignment and integration are key concepts for successful implementation of your performance measurement system. They are viewed in terms of extent and effectiveness of use to meet organizational performance assessment needs. Alignment and integration include how measures are aligned throughout your organization and how they are integrated to yield organization-wide data and information. Alignment and integration also include how performance measurement requirements are deployed by your senior leaders to track work group or educational program performance on key measures targeted for organization-wide significance or improvement.
- The use of comparative data and information is important to all organizations. The major premises for use are (1) your organization needs to know where it stands relative to comparable organizations within and outside the academic community and to best practices, (2) comparative information and information obtained from benchmarking often provide the impetus for significant ("breakthrough") improvement or change that might signal changes taking place in educational practices, and (3) comparing performance information frequently leads to a better understanding of your processes and their performance. Comparative information also may support organizational analysis and decisions relating to core competencies, alliances, and outsourcing.
- Your effective selection and use of comparative data and information require (1) determination of needs and priorities, (2) criteria for seeking appropriate sources for comparisons—from within and outside your academic community and markets, and (3) use of data and information to promote major, nonincremental ("breakthrough") improvements in areas most critical to your organization's strategy.
- Individual facts and data do not usually provide an effective basis for setting organizational priorities. This Item emphasizes that close alignment is needed between your analysis and your organizational performance review and between your analysis and your organizational planning. This ensures that analysis is relevant to decision making and that decision making is based on relevant data and information.



- Action depends on understanding cause-effect connections among processes and between processes and results or outcomes. Programmatic and operational changes may have many resource implications. Organizations have a critical need to provide an effective analytical basis for decisions because resources for improvement are limited and cause-effect connections are often unclear.
- Analyses that your organization conducts to gain an understanding of performance and needed actions may vary widely depending on your type of organization, size, relationship to other organizations providing similar services, and other factors. Examples of possible analyses include
  - how the improvement of programs, offerings, and services correlates with key student and stakeholder indicators, such as satisfaction and retention
  - trends in key indicators of student motivation, such as absenteeism, dropout rates, and use of education facilities
  - test performance trends for students, segmented by student segments, as appropriate
  - relationships between in-school outcomes or performance and longer-range outcomes—in other schools or in the workplace, for example
  - activity-level cost trends in organizational operations

54

- student utilization of learning technologies and facilities versus assessment of student performance
- relationships between student background variables and outcomes
- relationships between students' allocation of time to activities and projects and their academic performance
- percentage of students attaining industry-based or profession-based skill certification
- percentage of students completing advanced placement courses by graduation
- cost and budgetary implications of student- or stakeholder-related problems and effective problem resolution
- financial benefits derived from improvements in faculty and staff safety, absenteeism, and turnover
- benefits and costs associated with education and training, including electronic learning opportunities for faculty and staff
- the value added for students, stakeholders, and the organization by better knowledge and information management
- the relationship between knowledge management and innovation
- how the ability to identify and meet faculty and staff requirements correlates with faculty and staff retention, motivation, and well-being
- cost and budgetary implications of faculty- and staff-related problems and effective problem resolution
- allocation of resources among alternative improvement projects based on cost and benefit implications and improvement potential
- cost and financial implications of new educational programs, services, and market entry and changing educational and operational needs

- The availability of electronic data and information of many kinds (e.g., student- and stakeholder-related, budgetary and financial, operational, accreditation or regulatory) and from many sources (e.g., internal, third party, and public sources; the Internet; Internet tracking software) permits extensive analysis and correlations. Effectively utilizing and prioritizing this wealth of information are significant organizational challenges.

4.2 Information and Knowledge Management

Purpose

This Item examines how your organization ensures the availability of high-quality, timely data and information for all your key users—faculty, staff, students, stakeholders, suppliers, and partners. It also examines how your organization builds and manages its knowledge assets. The aim is to improve organizational efficiency, effectiveness, and innovation.

Requirements

You are asked how you make data and information available and accessible to your user communities. You are asked how you ensure that data, information, and organizational knowledge have all the characteristics your users expect: integrity, reliability, accuracy, timeliness, and appropriate levels of security and confidentiality.

You also are asked how you ensure that your hardware systems and software are reliable, secure, and user friendly so that access is facilitated and encouraged.

You are asked how you keep your data availability mechanisms, software, and hardware current with changing educational service needs and directions.

Finally, you are asked how you capture, protect, and disseminate organizational knowledge.

Comments

- Managing information can require a significant commitment of resources as the sources of data and information grow dramatically. Organizational abilities to ensure reliability and availability in a user-friendly format are challenged by the expanding use of electronic information within organizations' operations; as part of organizational knowledge networks; from the Internet, intranet, and school Web sites; and in communications between students and their school, as well as between stakeholders and the school.
- Data and information are especially important in grade-to-grade, school-to-school, and school-to-work transitions and in partnerships with business, social services, and the community. Your responses to this Item should take into account this use of data and information and should recognize the need for rapid data validation and reliability assurance, given the increasing use of electronic data transfer.
- The focus of an organization's knowledge management is on the knowledge that people need to do their work; improve processes, programs, offerings, and services; keep current with changing educational needs and directions; and develop innovative solutions that add value for the student, stakeholder, and the organization.

Faculty and Staff Focus (Category 5)

Faculty and Staff Focus addresses key human resource practices—those directed toward creating and maintaining a high-performance workplace with a strong focus on students and learning and toward developing faculty and staff to enable them and your organization to adapt to change. The Category covers faculty and staff development and management requirements in an integrated way, i.e., aligned with your organization's strategic objectives. Your faculty and staff focus includes your work environment and your faculty and staff support climate.

To reinforce the basic alignment of workforce management with overall strategy, the Criteria also cover faculty and staff planning as part of overall planning in the Strategic Planning Category.

5.1 Work Systems

Purpose

This Item examines your organization's systems for work and jobs, compensation, career progression, faculty and staff performance management, motivation, recognition, communication, and hiring, with the aim of enabling and encouraging all faculty and staff to contribute effectively and to the best of their ability. These systems are intended to foster student achievement and high performance, to result in individual and organizational learning, and to enable adaptation to change.

Requirements

You are asked how you organize and manage work and jobs to promote cooperation, initiative, empowerment, innovation, agility, and your organizational culture. You are asked how you achieve effective communication and knowledge and skill sharing. You are asked how your faculty and staff performance management system, including feedback to faculty and staff, supports high performance and a focus on students, stakeholders, and educational services, programs, and offerings. This should include how compensation, recognition, and related practices reinforce these objectives, including your overall objectives for student learning and development.

You are asked how you identify the capabilities needed by potential faculty and staff and how you recruit, hire, and retain faculty and staff. Your considerations should include the ability of your work system to benefit from the diverse ideas and cultures of your faculty, staff, and communities.

Finally, you are asked how you accomplish effective succession planning for senior leaders and others and how you manage effective career progression for all faculty and staff throughout the organization.

Comments

- High-performance work is characterized by a focus on student achievement, flexibility, innovation, knowledge and skill sharing, alignment with organizational objectives, and the ability to exercise discretion and make effective decisions to respond to changing educational service needs and requirements of your students, stakeholders, and markets. The focus of this Item is on a workforce capable of achieving high performance. In addition to enabled faculty and staff and proper work system design, high-performance work requires ongoing education and training, as well as information systems that ensure proper information flow.
- Work and job factors for your consideration include cross-training, job rotation, use of teams (including self-directed teams and, in some cases, involving paraprofessionals and adjunct faculty), and changes in classroom design. Also important is effective communication across functions and work units to ensure a focus on student and stakeholder requirements and to ensure an environment of encouragement, trust, knowledge sharing, and mutual respect.
- Compensation and recognition systems should be matched to your faculty and staff work systems. To be effective, compensation and recognition might be tied to demonstrated skills, administrator/supervisor evaluations, or student evaluations of teachers' classroom performance. Compensation and recognition approaches also might include rewarding exemplary team or unit performance, presentations and participation at professional meetings and conferences, and linkage to student and stakeholder satisfaction or other organizational performance objectives.
- Organizations should address the important alignment of incentives with the achievement of key organizational objectives. A basic requirement for this alignment is consistency between compensation and recognition and work structures and processes. Faculty and staff compensation and recognition systems should reinforce student achievement, high performance, job design, and learning.
- The requirements of high-performance work, coupled with faculty and staff shortages, necessitate more attention to succession planning, recruitment strategies, and hiring profiles. This should include and capitalize on diversity factors. Faculty and staff hiring and career progression planning should consider both internal and external candidates with a focus on the future success and growth of the organization. Consideration should be given to appropriate certification and licensure and to equitable distribution of staff among organizational units, such as schools or campuses.

5.2 Faculty and Staff Learning and Motivation

Purpose

This Item examines your organization's faculty and staff education and training. It also examines your organization's systems for motivation and faculty and staff career development with the aim of meeting ongoing needs of faculty and staff and a high-performance workplace.

Requirements

You are asked how education and training tie to your action plans, including how education and training balance short- and longer-term individual and organizational objectives. You are asked how you seek and use input on education and training needs and delivery from those most directly benefiting—faculty, staff, and their supervisors and administrators. You are asked how you incorporate organizational learning and knowledge assets into your education and training.

You are asked how your faculty and staff education, training, and development address key organizational needs associated with technological change, ethical business practices, leadership and supervisor development, orientation of new faculty and staff, safety, diversity, and performance measurement and improvement.

You are asked how you deliver and evaluate faculty and staff education and training, taking into account individual and organizational performance. You are asked how you reinforce knowledge and skills on the job.

Finally, you are asked how your administrators and supervisors motivate faculty and staff to develop and utilize their full potential, including the mechanisms you use to attain job- and career-related learning objectives.

Comments

- Education and training address the knowledge and skills faculty and staff need to meet their overall work and personal and professional objectives and the organization's need for leadership development of faculty and staff. Education and training needs might vary greatly, depending on many factors—especially specific faculty and staff responsibilities. These needs might include gaining knowledge about assessment practices, learning styles, and effective methods for working with students from other cultures who have limited English proficiency. They also might include gaining skills in knowledge sharing, communications, interpreting and using data, using new technology, process analysis, and evaluating and understanding student behavior and character development, as well as other training that affects faculty and staff effectiveness and safety.
- This Item emphasizes the importance of the involvement of faculty and staff and their supervisors in the design of training, including clear identification of specific needs. This involves job analysis, i.e., understanding the types and levels of skills required and the timeliness of training. Determining specific education and training needs might include the use of organizational assessment or faculty and staff self-assessment to determine and/or compare skill levels for progression within the organization or elsewhere. Education and training also include appropriate orientation of new faculty and staff.
- Education and training delivery might occur inside or outside your organization and could involve on-the-job, classroom, computer-based, or distance learning, as well as other types of delivery. Training also might occur through developmental assignments within or outside your organization. This includes the use of developmental assignments such as sabbatical leave, internships, or job shadowing within or outside the organization to enhance faculty and staff career opportunities and employability.
- Effective performance management also includes the evaluation of education and training. Such evaluation might take into account administrators' evaluation, faculty and staff evaluation, and peer evaluation of the value received through education and training relative to needs identified in their design. Evaluation also might address factors such as the effectiveness of education and training delivery, its impact on work unit and organizational performance, and costs of delivery alternatives.
- To help faculty and staff realize their full potential, many organizations use individual development plans prepared with each person that address his or her career and learning objectives.

5.3 Faculty and Staff Well-Being and Satisfaction

Purpose

This Item examines your organization's work environment, your faculty and staff support climate, and how you determine job satisfaction, with the aim of fostering the well-being, satisfaction, and motivation of all faculty and staff while recognizing their diverse needs.

Requirements

You are asked how you ensure a safe, secure, and healthful work environment for all faculty and staff, taking into account their differing work environments and associated requirements. Special emphasis is placed on how faculty and staff contribute to identifying important factors and to improving workplace safety. You also are asked to identify appropriate measures and targets for key workplace factors so that status and progress can be tracked.

You are asked how you ensure workplace preparedness for emergencies or disasters. You also are asked how you ensure organizational continuity for the benefit of your faculty, staff, students, and stakeholders.

You are asked how you determine the key factors that affect faculty and staff well-being, satisfaction, and motivation. Included is how these factors are segmented for a diverse workforce and different categories and types of faculty and staff. In addition, you are asked how your services, benefits, and policies support faculty and staff well-being, satisfaction, and motivation based upon a holistic view of this key stakeholder group. Special emphasis is placed on the variety of approaches you use to satisfy a diverse workforce with differing needs and expectations.

You are asked to describe formal and informal assessment methods and measures you use to determine faculty and staff well-being, satisfaction, and motivation. This description should include how you tailor these methods and measures to a diverse workforce and how you use other indicators

(e.g., faculty and staff retention, absenteeism, grievances, and safety) to support your assessment. Finally, you are asked how you relate assessment findings to key organizational performance results to identify key priorities for improvement.

Comments

- Since the safety and health of faculty and staff depend significantly on specific work environments and responsibilities, it is important to view environmental factors separately and to segment measures and data accordingly, addressing the principal safety and health issues associated with each work unit.
- Most education organizations, regardless of size, have many opportunities to contribute to faculty and staff well-being, satisfaction, and motivation. Some examples of services, facilities, activities, and other opportunities are personal and career counseling; career development and employability services; recreational or cultural activities; formal and informal recognition; nonwork-related education; day care; special leave for family responsibilities and community service; flexible work hours and benefits packages; outplacement services; and retiree benefits, including extended health care and access to faculty and staff services.
- Many factors might affect faculty and staff well-being and satisfaction, and these factors are likely to differ greatly among faculty and staff groups. The organization might need to consider factors such as effective resolution of faculty and staff problems and grievances; faculty and staff development and career opportunities; faculty and staff preparation for changes in technology or organizational structure; the work environment and leadership support; workload; communication, cooperation, and teamwork; job security; compensation; equality of opportunity; appreciation of the differing needs of diverse faculty and staff groups; and the capacity to provide required services to students.
- In addition to direct measures of faculty and staff satisfaction and well-being through formal or informal surveys, some other indicators include safety, absenteeism, turnover, grievances, Occupational Safety and Health Administration (OSHA) reportables, and workers' compensation claims.
- Factors inhibiting motivation should be understood and addressed by your organization. Further understanding of these factors could be developed through exit interviews with departing faculty and staff.

Process Management (Category 6)

Process Management is the focal point within the Education Criteria for all key processes. Built into the Category are the central requirements for efficient and effective process management: effective education design and delivery; a focus on student learning; linkage to students, stakeholders, suppliers, and partners and a focus on learning-centered processes that create value for all key stakeholders; and evaluation, continuous improvement, and organizational learning. As appropriate to an organization's mission, key support processes might include conducting research and providing outreach or service to key communities.

Agility, operational efficiencies tied to changes in revenue, and cycle time reduction are increasingly important in all aspects of process management and organizational design. In the simplest terms, "agility" refers to your ability to adapt quickly, flexibly, and effectively to changing requirements. Depending on the nature of your organization's strategy and markets, agility might mean rapid change from a particular course offering to another, rapid response to changing demands, or the ability to produce a wide range of customized services. Agility also increasingly involves decisions to outsource, agreements with key suppliers, and novel partnering arrangements. Flexibility might demand special strategies, such as implementing unique curricula; sharing facilities, faculty, and staff; and providing specialized training. Operational efficiencies tied to changes in revenue and cycle time reduction often involve agile process management strategies. It is crucial to utilize key measures for tracking all aspects of your overall process management.

6.1 Learning-Centered Processes

Purpose

This Item examines your organization's key learning-centered processes for your educational programs and offerings, with the aim of creating value for students and other key stakeholders and improving your organization's educational effectiveness.

Requirements

You are asked to identify your key learning-centered processes and their requirements. You are asked how these processes are designed, implemented, and delivered to meet all your requirements and how you incorporate input from students, stakeholders, and partners, as appropriate. You also are asked how you address key factors in design effectiveness, including individual differences in student learning rates and styles and their assessment; information on student segments and/or individual students; changing student, stakeholder, and market requirements; new technology; and sequencing and linkages among offerings.

You are asked how your processes create value for all key stakeholders and how they maximize student success and growth.

You are asked to include how key formative and summative assessments of students; in-process measures of programs and offerings; and real-time student, faculty, staff, and stakeholder input are used in managing your educational programs and offerings, as appropriate. You are asked how you incorporate a measurement plan that makes effective use of formative and summative assessment and how you ensure that faculty and staff are prepared to implement programs and offerings.

You are asked to identify your key performance measures for the control and improvement of your learning-centered processes and student services, including how in-process measures and student, stakeholder, supplier, and partner feedback are used.

Finally, you are asked how you improve your learning-centered processes and student services to achieve better performance and keep them current with changing educational needs and directions. You are asked how improvements are shared to achieve organizational learning.

Comments

- This Item calls for information on the management and improvement of key learning-centered processes for design and delivery of educational programs, services, and offerings. The information required includes a description of the key processes, their specific requirements, and how performance relative to these requirements is determined and maintained. Increasingly, these requirements might include the need for agility—speed and flexibility—to adapt to change.
- "Educational programs and offerings" refers to all activities that engage students in learning or that contribute to scientific or scholarly investigation, including courses, degree programs, research, outreach, service, cooperative projects, and overseas studies. Design of programs and offerings requires the identification of critical points (the earliest points possible) in the teaching and learning process for measurement, observation, or intervention.
- "Student services" refers to those offerings considered most important to student matriculation and success. These might include services related to counseling, advising, and tutoring students; libraries and information technology; and student recruitment, enrollment, registration, placement, financial aid, and housing. They also might include food services, security, health services, transportation, and book stores. The key services to be included in Item 6.1 are distinctive to your organization. Given the diverse nature of these processes, the requirements and performance characteristics might vary significantly for different processes; however, coordination and integration of design requirements may help ensure effective linkage and performance.
- "Education delivery" refers to instructional approaches, i.e., modes of teaching and organizing activities and experiences so that effective learning takes place. Coordination of design and delivery processes should involve representatives of all work units and individuals who take part in delivery and whose performance affects overall education outcomes. This might include groups such as faculty in feeder and receiving programs; academic staff members; faculty from different departments, disciplines, or levels; and social service, advising, or counseling staff members.
- Achieving expected student learning frequently requires setting performance levels or standards against which to gauge progress and to guide decision making in design and delivery of programs. Preparing for individual differences in students requires understanding those differences and associated strategies to capitalize on strengths and overcome obstacles in styles and rates of learning. Instructional techniques for active learning provide an opportunity for students and student segments to analyze, synthesize, and evaluate information as part of the learning process.
- Ensuring that faculty and staff are properly prepared may require helping them gain subject matter expertise; an understanding of cognitive, social-emotional, or ethical development; knowledge of teaching strategies; skills in facilitation and learning assessment; an understanding of how to recognize and use learning research theory information; and skills in reporting and analyzing information and data on student progress.
- Your design approaches could differ appreciably depending on many factors, including your organization's mission; your market segments; the methods of delivery; and students' ages, experiences, and capabilities. Other factors that might need to be considered in design include capability and variability of faculty and staff, differences among students, long-term student performance, assessment capability, student and stakeholder expectations, and safety.
- Efficiency and effectiveness factors such as addressing sequencing and linkages among programs and offerings should take into account the various stakeholders in the educational process. Transfer of learning from past design projects, as well as among and across grade levels, disciplines, and institutions, can improve the design and delivery process and contribute to reduced cycle time in future efforts.
- This Item calls for information on the incorporation of new technology, including communicating with students

and giving them continuous (24/7) access; sharing information with faculty, staff, and other stakeholders; and providing automated information transfer.

- A measurement plan includes observations and measures or indicators that are used to provide timely information to help students and faculty improve learning. Formative and summative assessments need to be tailored to the educational offerings and program goals and might range from purely individualized to group-based assessments. In addition to these assessments, observations, measures, and indicators might include enrollment and participation figures, student evaluations of courses/instructors, success rates, attendance rates, dropout rates, information from student counselors, advanced study rates, complaints, feedback from students and families, and formal classroom observation by faculty leaders. Among the key factors to be addressed in assessment are ensuring appropriate comparisons among students and the relevance of assessment criteria to your mission and objectives. Differences among students must be a critical consideration in the evaluation of key educational processes. In addition, assessment optimally should be related to the knowledge and skill requirements of offerings, and assessment should provide students and others with key information about what students know and are able to do.
- Specific reference is made to in-process measures of educational programs and offerings and to student, faculty, staff, and stakeholder input. These measures and interactions require the identification of critical points in the learning process for measurement, observation, or interaction. These activities should occur at the earliest points possible in the process to minimize problems, failure, and costs. Achieving desired performance frequently requires setting performance levels or standards to guide decision making. When sufficient learning does not occur, corrective action is required. Proper corrective action involves changes at the source (root cause) of the problem. Such corrective action should minimize the likelihood of this type of variation occurring again or elsewhere in your organization. Differences among students must be considered in evaluating how well the educational process is performing. This might entail allowing for specific or general contingencies, depending on student differences and needs.
- Improving organizational performance means not only providing better educational value for the student but also better operational performance from your other stakeholders' perspectives. A wide variety of improvement approaches might be used depending on the educational program and many student-specific factors. These approaches include (1) using information from students, families, feeder schools, receiving schools, employers, and governing bodies; (2) benchmarking practices of other organizations; (3) using assessment results; (4) conducting peer evaluations; (5) using research on learning, assessment, and instructional methods; (6) collecting information on the use of new learning technology; and (7) sharing successful strategies across the organization. Process improvement approaches also might utilize financial data to evaluate alternatives and set priorities. In some cases, improvement of educational processes might entail complete redesign of the content and/or delivery of programs, offerings, and services.

6.2 Support Processes

Purpose

This Item examines your organization's key support processes, with the aim of improving your overall operational performance.

Requirements

You are asked to identify your key processes for supporting your learning-centered processes. You are asked how your organization's key support processes are designed to meet all your requirements and how you incorporate input from faculty, staff, students, stakeholders, suppliers, and partners, as appropriate. You also are asked how day-to-day operation of your key support processes ensures meeting the key requirements, including how in-process measures and faculty, staff, student, stakeholder, supplier, and partner feedback are used in managing support processes.

You are asked how you minimize costs associated with inspections, tests, and process and/or performance audits of support processes.

Finally, you are asked how you improve your key support processes to achieve better performance and to keep them current with your changing educational needs and directions. You are asked how improvements are shared to achieve organizational learning.

Comments

- Your support processes are those that support your organization's design and delivery of educational programs and offerings and student services. The support process requirements usually do not depend significantly on the characteristics of educational programs and offerings or student services. Support process design requirements usually depend significantly on your internal requirements, and they must be coordinated and integrated to ensure efficient and effective linkage and performance. Support processes might include processes for finance and accounting; plant and facilities management; legal, human resource, and marketing services; information services; public relations; central receiving; purchasing; management of suppliers and partners; and secretarial and other administrative services.
- This Item calls for information on how your organization evaluates and improves the performance of your key support processes. Four approaches frequently used are (1) process analysis and research, (2) benchmarking,

(3) use of alternative technology, and (4) use of information from customers of the processes. Together, these approaches offer a wide range of possibilities, including complete redesign ("re-engineering") of processes.

Organizational Performance Results (Category 7)

The Organizational Performance Results Category provides a results focus that encompasses your students' learning; student and stakeholder satisfaction; your overall budgetary, financial, and market performance; your performance in creating a positive, productive, learning-centered, and supportive work environment; your governance structure and social responsibility; and results of all key processes and process improvement activities. Through this focus, the Criteria's purposes—superior value of offerings as viewed by your students, stakeholders, and markets; superior organizational performance as reflected in your operational, legal, ethical, and financial indicators; and organizational and personal learning—are maintained. Category 7 thus provides "real-time" information (measures of progress) for evaluation and improvement of educational programs, offerings, and services and the organization's processes, in alignment with your overall organizational strategy. Item 4.1 calls for analysis of organizational results data and information to determine your overall organizational performance.

Your responses to all of the Items in Category 7 should include comparison information that incorporates brief descriptions of how you ensure the appropriateness of each comparison. Comparable organizations might include those of similar types/sizes, both domestic and international, as well as organizations serving similar populations of students.

7.1 *Student Learning Results*

Purpose

This Item examines your organization's student learning results, with the aim of demonstrating the effectiveness of educational programs and activities.

Requirements

You are asked to provide current levels, trends, and appropriate comparisons for key measures and indicators of student learning and improvements in student learning.

Comments

- This Item addresses the principal student learning results based upon mission-related factors and assessment methods. This Item is critical for your organizational assessment, because it focuses on improvement by the organization over time and on achievement levels relative to those of comparable organizations or student populations. Proper use of this Item depends on appropriate normalization of data to compensate for initial differences in student populations.
- The following considerations are critical to understanding this Item: (1) student learning should reflect holistic and mission-related results; (2) current levels and trends should be reported and used for comparisons with other organizations providing similar services or with student populations, as well as to demonstrate year-to-year improvement; and (3) data should be segmented by student segments to permit an analysis of trends and comparisons that demonstrates the organization's sensitivity to educational improvement for all students.
- Student learning results should reflect not only what students know but also what they have learned as a result of the educational program, what they are able to do, and how well they are able to function. Results should consider external requirements derived from your markets and from other organizations providing similar services. Appropriate for inclusion are formative and summative assessment results—both curriculum-based and criterion-referenced—that address key learning goals and overall performance requirements. Additionally, assessments should be embedded and ongoing, allowing for prompt feedback.
- Although better admission criteria might contribute to improved education for all students, improved student learning based entirely upon changing students' entry-level qualifications should not be reported in Item 7.1. However, improvement trends in student admission qualifications are appropriate for inclusion in Organizational Effectiveness Results (Item 7.5). Improvement in student learning beyond that which could be attributed to entry-level qualifications is appropriate for inclusion in Item 7.1, along with other measures and indicators of improvement trends and comparisons.
- Determining the correlation between education design and delivery and student learning is a critical management tool for (1) defining and focusing on key instructional requirements; (2) identifying educational service differentiators; and (3) determining cause-and-effect relationships between your educational service attributes and evidence of student and stakeholder satisfaction; student persistence, graduation, and completion; and positive referral. The correlation might reveal emerging or changing requirements, changing markets, or potential obsolescence of educational offerings.

7.2 *Student- and Stakeholder-Focused Results*

Purpose

This Item examines your organization's student- and stakeholder-focused results, with the aim of demonstrating how well your organization has been satisfying students' and stakeholders' key needs and expectations and has encouraged loyalty, student persistence, and positive referral.

Requirements

You are asked to provide current levels, trends, and appropriate comparisons for key measures and indicators of the satisfaction and dissatisfaction of current and past students and key stakeholders, including comparisons with levels of student and stakeholder satisfaction relative to competitors and comparable organizations. You also are asked to provide data and information on student and stakeholder loyalty, student persistence, positive referral, perceived value, and other aspects of relationship building, as appropriate.

Comments

- This Item focuses on the creation and use of all relevant data to determine and help predict your organization's performance as viewed by your students and stakeholders. Relevant data and information include student and stakeholder satisfaction and dissatisfaction; gains and losses of students; positive referrals; complaints and complaint management; student- and stakeholder-perceived value; student assessment of accessibility and availability of educational programs and offerings; and awards, ratings, and recognition from independent rating organizations.
- Effectively used, satisfaction results provide important indicators of organizational effectiveness and improvement. Effective use entails understanding the key dimensions of satisfaction and dissatisfaction, recognition that satisfaction and dissatisfaction with educational services and/or performance might differ among student segments and stakeholder groups, and recognition that satisfaction and dissatisfaction might change over time. The underlying purpose of the Item is not only to ensure that satisfaction levels provide a useful tool in assessing key climate factors that contribute to or inhibit education but also to encourage inclusion of measures of educational growth. Satisfaction results are thus principally enablers, not an end in themselves. Together, the results reported in Item 7.2 should help guide action leading to improved student performance, recognizing that the action might address climate, curricula, faculty development, and many other factors. The Item should not be interpreted as emphasizing "popularity" or other short-term, noneducational aims.

7.3 *Budgetary, Financial, and Market Results*

Purpose

This Item examines your organization's budgetary, financial, and market results, with the aim of understanding your management and effective use of financial resources and your market challenges and opportunities.

Requirements

You are asked to provide levels, trends, and appropriate comparisons for key budgetary, financial, and market indicators. Overall, these results should provide a complete picture of the effectiveness of your management and use of financial resources.

Comments

- This Item addresses those factors that best reflect the organization's financial, budgetary, and market performance. Measures of budgetary and financial performance might include instructional and general administration expenditures per student; income, expenses, and reserves; the tax rate; tuition and fee levels; cost per academic credit; annual grants or awards; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service. Market performance measures could include market share, measures of growth or loss of students or programs, new educational services entered, entry into Web-based and distance learning markets, and market position. Measures also might include the number of students transferring into or out of the organization, including into or from alternative educational services such as home schooling, charter schools, or vouchers; utilization of new educational program offerings; and new or expanded delivery methods, as appropriate. Comparative data for these measures might include performance relative to comparable organizations, competing organizations, and appropriate benchmarks from within and outside the academic community.

7.4 *Faculty and Staff Results*

Purpose

This Item examines your organization's faculty- and staff-related results, with the aim of demonstrating how well your organization has been creating and maintaining a positive, productive, learning-centered, and caring work environment for all faculty and staff.

Requirements

You are asked to provide data and information on the performance and effectiveness of your organization's work system.

You also are asked to provide current levels, trends, and appropriate comparisons for key measures and indicators of faculty and staff learning, development, well-being, satisfaction, and dissatisfaction.

Comments

- Results measures reported for work system performance might include improvement in job classification, job rotation or job sharing, work design, and local decision making. Results reported might include input data, such as extent of training, but the main emphasis should be on data that show effectiveness of outcomes.
- Results reported might include generic or organization-specific factors. Generic factors might include safety, absenteeism, turnover, satisfaction, and complaints

(grievances). For some measures, such as absenteeism and turnover, local or regional comparisons might be appropriate.

- Organization-specific factors are those you assess for determining your work system performance and your faculty and staff well-being and satisfaction. These factors might include the extent of training or cross-training or the extent and success of self-direction.

7.5 *Organizational Effectiveness Results*

Purpose

This Item examines your organization's other key operational performance results not reported in Items 7.1–7.4, with the aim of achieving organizational effectiveness and attaining key organizational goals.

Requirements

You are asked to provide current levels, trends, and appropriate comparisons for key measures and indicators of operational and strategic performance that lead to enhanced learning and creation of value for all stakeholders and to the ongoing achievement of results reported in Items 7.1–7.4.

Comments

- This Item addresses key performance results not covered in Items 7.1–7.4 that contribute significantly to enhanced learning and the organization's mission and goals, e.g., student learning; student and stakeholder satisfaction; operational effectiveness; and budgetary, financial, and market performance. The Item encourages the use of any unique and innovative measures the organization has developed to track performance in important areas. However, all key areas of organizational and operational performance should be evaluated by measures that are relevant and important to your organization.

- Results should reflect key process performance measures, including those that influence student learning and student and stakeholder satisfaction. Measures of productivity and operational effectiveness, including timeliness in all key areas—educational and student services and support areas—are appropriate for inclusion. Results of compliance and improvement in areas such as athletic programs could be reported. Also appropriate for inclusion are improvements in admission standards; improvements in safety; effectiveness of research, outreach, and services; innovations; increased use of Web-based technologies; utilization of facilities by community organizations; improved performance of administrative and other support functions such as purchasing; cost containment; redirection of resources from other areas to education; and indicators of strategic goal achievement.

7.6 *Governance and Social Responsibility Results*

Purpose

This Item examines your organization's key results in the area of societal responsibilities, with the aim of maintaining an ethical organization that is a good citizen in its communities.

Requirements

You are asked to provide data and information on key measures or indicators of organizational accountability, stakeholder trust, and ethical behavior.

You also are asked to provide data and information on your organization's regulatory and legal compliance and citizenship.

Comments

- Key measures or indicators of fiscal accountability, stakeholder trust, and ethical behavior might include the integrity of testing; student and stakeholder safety; faculty and staff accreditation; equal access to resources, programs, and facilities; and appropriate use of funds.

- Independent of an increased focus on issues of governance, ethics, and board and leadership accountability, it is important for organizations to practice and demonstrate high standards of overall conduct. Governing boards and senior leaders should track relevant performance measures on a regular basis and emphasize this performance in stakeholder communications.

- Measures should include environmental and regulatory compliance and noteworthy achievements in these areas, as appropriate. Results also should include indicators of support for key communities and other public purposes.

- If your organization has received sanctions or adverse actions under law, regulation, or contract during the past three years, the incidents and their current status should be summarized.

Scoring System

The scoring of responses to Criteria Items (Items) and Award applicant feedback are based on three evaluation dimensions: (1) APPROACH, (2) DEPLOYMENT, and (3) RESULTS. Criteria users need to furnish information relating to these dimensions. Specific factors for these dimensions are described below. Scoring Guidelines are given on page 59.

Approach

"APPROACH" refers to how you address the Item requirements—the *method(s)* used. The factors used to evaluate APPROACHES include

- the appropriateness of the methods to the requirements
- the effectiveness of use of the methods and the degree to which the APPROACH
  - is repeatable, integrated, and consistently applied
  - embodies evaluation/improvement/learning cycles
  - is based on reliable information and data
- ALIGNMENT with your organizational needs
- evidence of beneficial INNOVATION and change

Deployment

"DEPLOYMENT" refers to the *extent* to which your APPROACH is applied. The factors used to evaluate DEPLOYMENT include

- use of the APPROACH in addressing Item requirements relevant and important to your organization
- use of the APPROACH by all appropriate work units

Results

"RESULTS" refers to *outcomes* in achieving the PURPOSES given in Items 7.1–7.6. The factors used to evaluate RESULTS include

- your current PERFORMANCE
- your PERFORMANCE relative to appropriate comparisons and/or BENCHMARKS
- rate and breadth of your PERFORMANCE improvements
- linkage of your RESULTS MEASURES to important KEY student, STAKEHOLDER, market, PROCESS, and ACTION PLAN PERFORMANCE requirements identified in your Organizational Profile and in APPROACH-DEPLOYMENT Items

Item Classification and Scoring Dimensions

Items are classified according to the kinds of information and/or data you are expected to furnish relative to the three evaluation dimensions given above.

The two types of Items and their designations are

1. APPROACH-DEPLOYMENT **Approach-Deployment**
2. RESULTS **Results**

APPROACH and DEPLOYMENT are linked to emphasize that descriptions of APPROACH should always indicate the DEPLOYMENT—consistent with the *specific requirements* of the Item. Although APPROACH and DEPLOYMENT dimensions are linked, feedback to Award applicants reflects strengths and/or opportunities for improvement in either or both dimensions.

RESULTS Items call for data showing PERFORMANCE LEVELS, relevant comparative data, and improvement TRENDS for KEY MEASURES and INDICATORS of organizational PERFORMANCE. RESULTS Items also call for data on breadth of PERFORMANCE improvements, i.e., on how widespread your improvement RESULTS are. This is directly related to the DEPLOYMENT dimension; if improvement PROCESSES are widely deployed, there should be corresponding RESULTS. A score for a RESULTS Item is thus a composite based upon overall PERFORMANCE, taking into account the rate and breadth of improvements and their importance. (See next paragraph.)

"Importance" as a Scoring Factor

The three evaluation dimensions described previously are critical to evaluation and feedback. However, another critical consideration in evaluation and feedback is the importance of your reported APPROACH, DEPLOYMENT, and RESULTS to your KEY organizational factors. The areas of greatest importance should be identified in your Organizational Profile and in Items such as 2.1, 2.2, 3.1, 5.1, and 6.1. Your KEY student and STAKEHOLDER requirements and KEY STRATEGIC OBJECTIVES and ACTION PLANS are particularly important.

Assignment of Scores to Your Responses

The following guidelines should be observed in assigning scores to your Item responses:

- All Areas to Address should be included in your Item response. Also, responses should reflect what is important to your organization.
- In assigning a score to an Item, first decide which scoring range (e.g., 50 percent to 60 percent) best fits the overall Item response. Overall "best fit" does not require total agreement with each of the statements for that scoring range. Assigning the actual score *within* the range requires evaluating whether the Item response is closer to the statements in the next higher or next lower scoring range.
- An APPROACH-DEPLOYMENT Item score of 50 percent represents an APPROACH that meets the overall objectives of the Item and that is deployed to the principal activities, PROCESSES, and work units covered in the Item. Higher scores reflect maturity (organizational learning), INTEGRATION, and broader DEPLOYMENT.
- A RESULTS Item score of 50 percent represents a clear indication of improvement TRENDS and/or good LEVELS of PERFORMANCE in the principal RESULTS areas covered in the Item. Higher scores reflect better improvement rates and/or LEVELS of PERFORMANCE, better comparative PERFORMANCE, and broader coverage and INTEGRATION with education requirements.

For Use With Categories 1–6

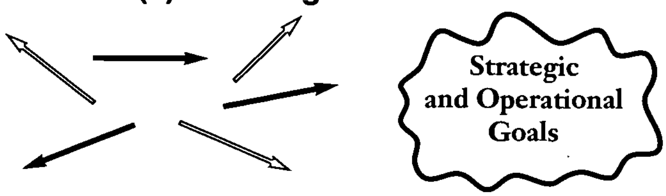
SCORE	APPROACH-DEPLOYMENT
0%	■ No SYSTEMATIC APPROACH is evident; information is ANECDOTAL.
10% to 20%	■ The beginning of a SYSTEMATIC APPROACH to the BASIC REQUIREMENTS of the Item is evident. ■ Major gaps exist in DEPLOYMENT that would inhibit progress in achieving the BASIC REQUIREMENTS of the Item. ■ Early stages of a transition from reacting to problems to a general improvement orientation are evident.
30% to 40%	■ An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the BASIC REQUIREMENTS of the Item, is evident. ■ The APPROACH is deployed, although some areas or work units are in early stages of DEPLOYMENT. ■ The beginning of a SYSTEMATIC APPROACH to evaluation and improvement of KEY PROCESSES is evident.
50% to 60%	■ An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the OVERALL REQUIREMENTS of the Item and your KEY organizational requirements, is evident. ■ The APPROACH is well deployed, although DEPLOYMENT may vary in some areas or work units. ■ A fact-based, SYSTEMATIC evaluation and improvement PROCESS is in place for improving the efficiency and effectiveness of KEY PROCESSES. ■ The APPROACH is aligned with your basic organizational needs identified in the other Criteria Categories.
70% to 80%	■ An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the MULTIPLE REQUIREMENTS of the Item and your current and changing educational service needs, is evident. ■ The APPROACH is well deployed, with no significant gaps. ■ A fact-based, SYSTEMATIC evaluation and improvement PROCESS and organizational learning/sharing are KEY management tools; there is clear evidence of refinement, INNOVATION, and improved INTEGRATION as a result of organizational-level ANALYSIS and sharing. ■ The APPROACH is well integrated with your organizational needs identified in the other Criteria Categories.
90% to 100%	■ An EFFECTIVE, SYSTEMATIC APPROACH, fully responsive to all the requirements of the Item and all your current and changing educational service needs, is evident. ■ The APPROACH is fully deployed without significant weaknesses or gaps in any areas or work units. ■ A very strong, fact-based, SYSTEMATIC evaluation and improvement PROCESS and extensive organizational learning/sharing are KEY management tools; strong refinement, INNOVATION, and INTEGRATION, backed by excellent organizational-level ANALYSIS and sharing, are evident. ■ The APPROACH is fully integrated with your organizational needs identified in the other Criteria Categories.

For Use With Category 7

SCORE	RESULTS
0%	■ There are no organizational PERFORMANCE RESULTS or poor RESULTS in areas reported.
10% to 20%	■ There are some improvements *and/or* early good PERFORMANCE LEVELS in a few areas. ■ RESULTS are not reported for many to most areas of importance to your KEY organizational requirements.
30% to 40%	■ Improvements *and/or* good PERFORMANCE LEVELS are reported in many areas of importance to your KEY organizational requirements. ■ Early stages of developing TRENDS and obtaining comparative information are evident. ■ RESULTS are reported for many to most areas of importance to your KEY organizational requirements.
50% to 60%	■ Improvement TRENDS *and/or* good PERFORMANCE LEVELS are reported for most areas of importance to your KEY organizational requirements. ■ No pattern of adverse TRENDS and no poor PERFORMANCE LEVELS are evident in areas of importance to your KEY organizational requirements. ■ Some TRENDS *and/or* current PERFORMANCE LEVELS—evaluated against relevant comparisons *and/or* BENCHMARKS—show areas of strength *and/or* good to very good relative PERFORMANCE LEVELS. ■ Organizational PERFORMANCE RESULTS address most KEY student, STAKEHOLDER, market, and PROCESS requirements.
70% to 80%	■ Current PERFORMANCE is good to excellent in areas of importance to your KEY organizational requirements. ■ Most improvement TRENDS *and/or* current PERFORMANCE LEVELS are sustained. ■ Many to most TRENDS *and/or* current PERFORMANCE LEVELS—evaluated against relevant comparisons *and/or* BENCHMARKS—show areas of leadership and very good relative PERFORMANCE LEVELS. ■ Organizational PERFORMANCE RESULTS address most KEY student, STAKEHOLDER, market, PROCESS, and ACTION PLAN requirements.
90% to 100%	■ Current PERFORMANCE is excellent in most areas of importance to your KEY organizational requirements. ■ Excellent improvement TRENDS *and/or* sustained excellent PERFORMANCE LEVELS are reported in most areas. ■ Evidence of education sector and BENCHMARK leadership is demonstrated in many areas. ■ Organizational PERFORMANCE RESULTS fully address KEY student, STAKEHOLDER, market, PROCESS, and ACTION PLAN requirements.

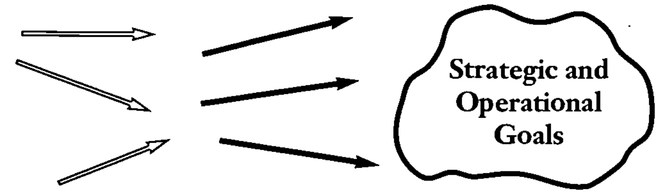
Steps Toward a Mature Process Approach
An Aid for Scoring Approach-Deployment Items

(1) Reacting to Problems



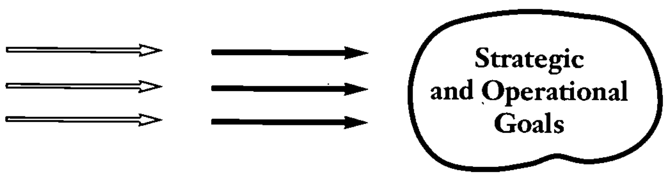
Operations are characterized by activities rather than by processes, and they are largely responsive to immediate needs or problems.

(2) Early Systematic Approach



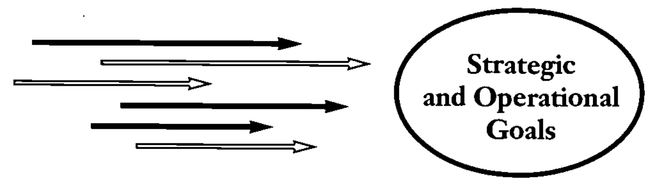
The organization is at the beginning stages of conducting operations by processes with repeatability, evaluation and improvement, and some coordination among organizational units.

(3) Aligned Approach

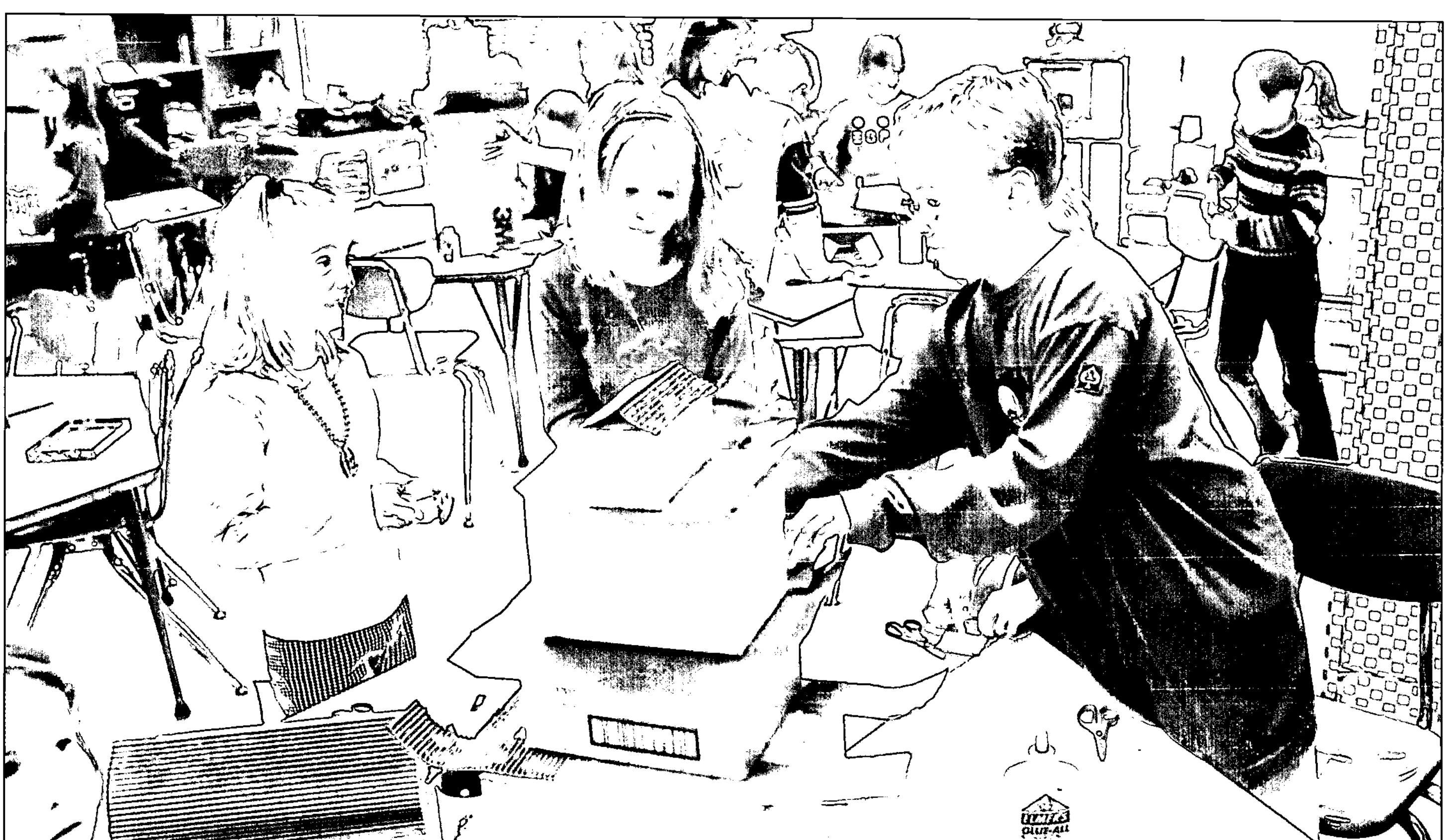


Operations are characterized by processes that are repeatable and regularly evaluated for improvement, with learnings shared and with coordination among organizational units.

(4) Integrated Approach



Operations are characterized by processes that are repeatable and regularly evaluated for change and improvement in collaboration with other affected units. Efficiencies across units are sought and achieved.



2003 Education Criteria Response Guidelines

The guidelines given in this section are offered to assist Criteria users in responding most effectively to the requirements of the 19 Criteria Items. Writing an application for the Baldrige Award involves responding to these requirements in 50 or fewer pages.

The guidelines are presented in three parts:

(1) General Guidelines regarding the Criteria booklet, including how the Items are formatted

(2) Guidelines for Responding to Approach-Deployment Items

(3) Guidelines for Responding to Results Items

General Guidelines

1. Read the entire Criteria booklet.

The main sections of the booklet provide an overall orientation to the Criteria, including how responses are to be evaluated for self-assessment or by Award Examiners. You should become thoroughly familiar with the following sections:

- Education Criteria for Performance Excellence (pages 14–34)
- Scoring information (pages 58–60)
- Glossary of Key Terms (pages 35–41)
- Category and Item Descriptions (pages 42–57)

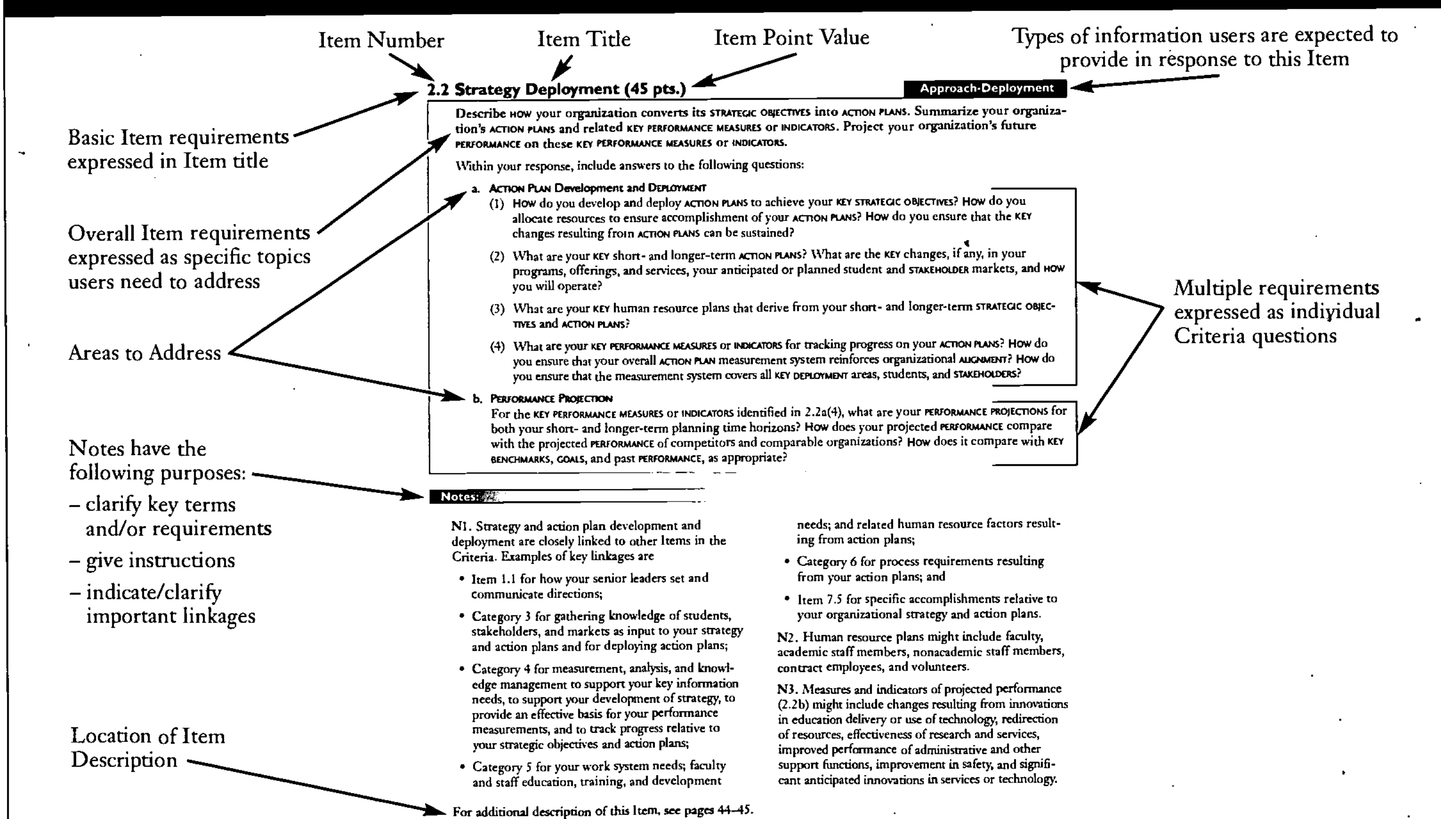
2. Review the Item format and understand how to respond to the Item requirements.

The Item format (see figure below) shows the different parts of Items, the role of each part, and where each part is placed. It is especially important to understand the Areas to Address and the Item Notes. Each Item and Area to Address is described in greater detail in a separate section (pages 42–57).

Each Item is classified either **Approach-Deployment** or **Results**, depending on the type of information required. Guidelines for responding to Approach-Deployment Items are given on pages 62–63. Guidelines for responding to Results Items are given on pages 63–64.

Item requirements are presented in question format. Some Areas to Address include multiple questions. Responses to an Item should contain answers to all questions; however, each question need not be answered separately. Responses to multiple questions within a single Area to Address may be grouped, as appropriate to

Item Format



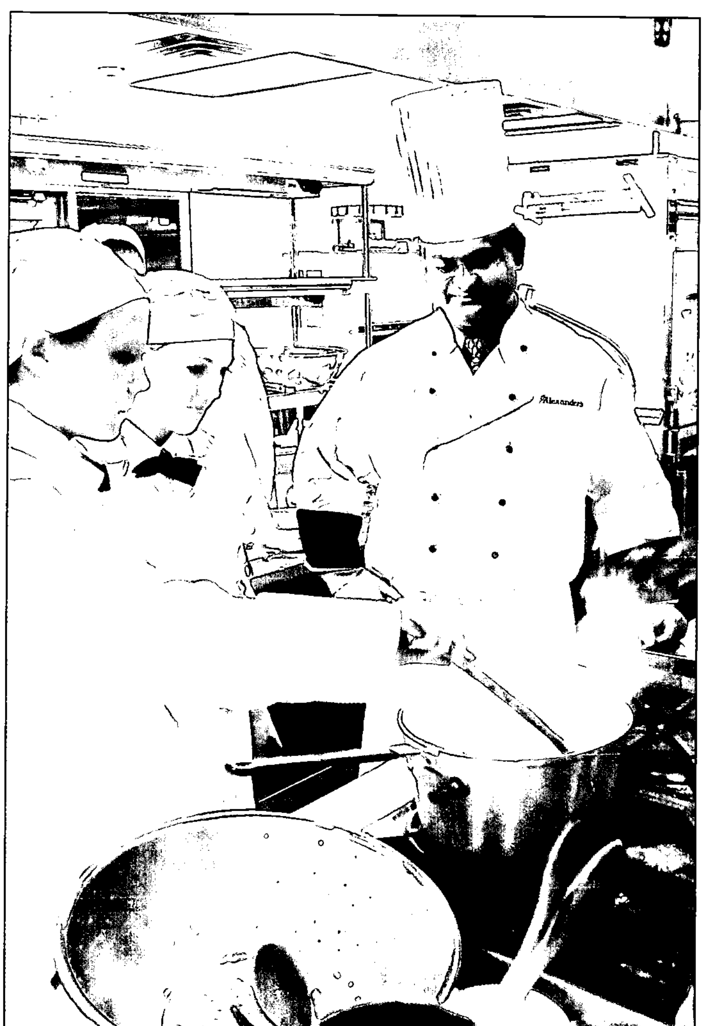
your organization. These multiple questions serve as a guide in understanding the full meaning of the information being requested.

3. Start by preparing the Organizational Profile.

The Organizational Profile is the most appropriate starting point for initiating a self-assessment or for writing an application. The Organizational Profile is intended to help everyone—including organizations using the Criteria for self-assessment, application writers, and reviewers—to understand what is most relevant and important to your organization and to its performance. The questions to address in responding to the Organizational Profile are on pages 14–16.

Guidelines for Responding to Approach-Deployment Items

Although the Criteria focus on key performance results, these results by themselves offer little *diagnostic* value. For example, if some results are poor or are improving at rates slower than your competitors', it is important to understand *why* this is so and *what* might be done to accelerate improvement.



The purpose of Approach-Deployment Items is to permit diagnosis of your organization's most important processes—the ones that yield fast-paced organizational performance improvement and contribute to key organizational results. Diagnosis and feedback depend heavily on the content and completeness of Approach-Deployment Item responses. For this reason, it is important to respond to these Items by providing your key process information. Guidelines for organizing and reviewing such information follow.

1. Understand the meaning of "how."

Approach-Deployment Items include questions that begin with the word "how." *Responses should outline your key process information, such as methods, measures, deployment, and evaluation/improvement/learning factors.* Responses lacking such information, or merely providing an example, are referred to in the Scoring Guidelines as "anecdotal information."

2. Understand the meaning of "what."

Two types of questions in Approach-Deployment Items begin with the word "what." The first type of question requests basic information on key processes and how they work. Although it is helpful to include *who* performs the work, merely stating *who* does not permit diagnosis or feedback. The second type of question requests information on *what* your key findings, plans, objectives, goals, or measures are. These latter questions set the context for showing alignment and integration in your performance management system. For example, when you identify key strategic objectives, your action plans, faculty and staff development plans, some of your results measures, and results reported in Category 7 should be expected to relate to the stated strategic objectives.

3. Write and review response(s) with the following guidelines and comments in mind.

- Show that processes are *systematic.*

  Approaches that are systematic are repeatable and use data and information so that improvement and learning are possible. In other words, approaches are systematic if they build in the opportunity for evaluation and learning and thereby permit a gain in maturity.

- Show deployment.

  Deployment information should summarize what is done in different parts of your organization. Deployment can be shown compactly by using tables.

- Show focus and consistency.

  There are four important factors to consider regarding focus and consistency: (1) the Organizational Profile should make clear what is important; (2) the Strategic Planning Category, including the strategic objectives and action plans, should highlight areas of greatest

focus and describe how deployment is accomplished; (3) descriptions of organizational-level analysis and review (Items 4.1 and 1.1) should show how your organization analyzes and reviews performance information to set priorities; and (4) the Process Management Category should highlight processes that are key to your overall performance. *Showing focus and consistency in the Approach-Deployment Items and tracking corresponding measures in the Results Items should improve organizational performance.*

- Respond fully to Item requirements.

  Missing information will be interpreted as a gap in approach and/or deployment. All Areas to Address should be addressed. Individual questions in an Area to Address may be addressed individually or together.

4. Cross-reference when appropriate.

As much as possible, each Item response should be self-contained. However, responses to different Items might be mutually reinforcing. It is then appropriate to refer to the other responses rather than to repeat information. In such cases, key process information should be given in the Item requesting this information. For example, faculty and staff education and training should be described in detail in Item 5.2. Discussions about education and training elsewhere in your application would then reference but not repeat details given in your Item 5.2 response.

5. Use a compact format.

Applicants should make the best use of the 50 application pages permitted. Applicants are encouraged to use flowcharts, tables, and "bullets" to present information concisely.

6. Refer to the Scoring Guidelines.

Considerations in the evaluation of Item responses include the Criteria Item requirements and the maturity of the approaches, breadth of deployment, alignment and integration with other elements of your performance management system, and strength of the improvement and learning processes relative to the Scoring Guidelines. Therefore, you need to consider both the Criteria and the Scoring Guidelines.

Guidelines for Responding to Results Items

The Education Criteria place the greatest emphasis on results. The following information, guidelines, and example relate to effective and complete reporting of results.

1. Focus on the most critical organizational performance results.

Results reported should cover the most important requirements for your organizational success, highlighted in your Organizational Profile and in the Strategic Planning and Process Management Categories.

2. Note the meaning of the four key requirements from the Scoring Guidelines for effective reporting of results data:

- *trends* to show directions of results and rates of change
- *performance* levels on a meaningful measurement scale
- *comparisons* to show how results compare with those of other, appropriately selected organizations
- *breadth and importance of results* to show that all important results are included and segmented, e.g., by student, faculty and staff, process, and educational program, service, or offering groups

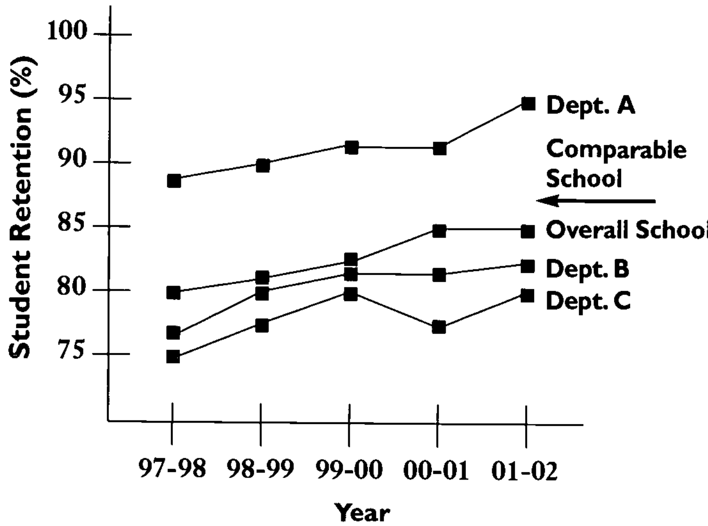
3. Include trend data covering actual periods for tracking trends.

No minimum period of time is specified for trend data. Trends might span five years or more for some results. For important results, new data should be included even if trends and comparisons are not yet well established.

4. Use a compact format—graphs and tables.

Many results can be reported compactly by using graphs and tables. Graphs and tables should be labeled for easy interpretation. Results over time or compared with others should be "normalized," i.e., presented in a way (such as

Figure 7.2-3 Student Persistence



use of ratios) that takes into account various size factors. For example, reporting absenteeism trends in terms of unexcused absences per 100 students would be more meaningful than total unexcused absences if the student population has varied over the time period or if you are comparing your results to those of organizations differing in number of students.

5. Integrate results into the body of the text.

Discussion of results and the results themselves should be close together in an Award application. *Trends that show a significant positive or negative change should be explained.* Use figure numbers that correspond to Items. For example, the third figure for Item 7.2 would be Figure 7.2-3. (See the example in the figure above.)

The graph above illustrates data an organization might present as part of a response to Item 7.2, Student- and Stakeholder-Focused Results. In the Organizational Profile, the organization has indicated student persistence as a key success requirement.

Using the graph, the following characteristics of clear and effective data reporting are illustrated:

- A figure number is provided for reference to the graph in the text.
- Both axes and units of measure are clearly labeled.
- Trend lines report data for a key success factor—student persistence.
- Results are presented for several years.
- Appropriate comparisons are clearly shown.
- The school shows, using a single graph, that its three departments separately track persistence rates.

To help interpret the Scoring Guidelines (page 59), the following comments on the graphed results would be appropriate:

- The current overall school performance level shows a generally improving trend. The current level is good but still slightly below the comparable school.
- Department A is the current performance leader—showing sustained excellent performance and a positive trend.
- Department B shows a lower level of performance but a generally improving trend.
- Although Department C has the overall lowest student retention rate, with the exception of the '00–'01 school year, there is a generally improving trend. (The single point drop in student retention should be briefly explained.)

6. Refer to the Scoring Guidelines

Considerations in the evaluation of Item responses include the Criteria Item requirements and the maturity of the results trends, actual performance levels, relevant comparative data, alignment with important elements of your performance management system, and strength of the improvement process relative to the Scoring Guidelines. Therefore, you need to consider both the Criteria and the Scoring Guidelines.

Applying for the Malcolm Baldrige National Quality Award

The Malcolm Baldrige National Quality Award is an annual Award to recognize U.S. organizations for performance excellence.

Award Purpose

The Award promotes

- awareness of performance excellence as an increasingly important element in competitiveness
- information sharing of successful performance strategies and the benefits derived from using these strategies

Award Participation

The Award eligibility categories include

- manufacturing businesses
- service businesses
- small businesses
- education organizations
- health care organizations

Copies of the Business Criteria and Health Care Criteria are available, and ordering information can be found on pages 67–68.

Up to three awards may be given in each category each year.

To participate in the Award process, an organization must submit an application package that addresses the Education Criteria for Performance Excellence (pages 14–34).

Application Requirements

Applicants need to follow a two-step process:

Step 1 involves the submission of an Eligibility Certification Package consisting of a cover letter, an Eligibility Certification Form, an Additional Information Needed Form, an organization chart, and a fee of $150.00 by April 15, 2003. *2003 Award applicants are also invited to nominate one senior member of their staff to serve on the Board of Examiners. Organizations that wish to reserve a place on the board for a staff member must submit their applications by March 14, 2003.*

Step 2 involves the submission of an Application Package, consisting of 25 copies of the validated Eligibility Certification Package (from Step 1, above), the Application Form, a glossary of key terms and abbreviations, an Organizational Profile, and responses addressing all Criteria Items. The Application Package with the appropriate fee must be submitted no later than May 29, 2003.

Detailed information on requirements, fees, and the necessary forms is provided in the *Baldrige Award Application Forms* booklet. Ordering instructions for the booklet are given on page 67; it may also be viewed and downloaded from our Web site at www.quality.nist.gov.

Application Review

Applications are reviewed and evaluated by members of the Board of Examiners, who adhere to strict rules regarding conflict of interest, using the following process:

Stage 1 - independent review and evaluation by at least six members of the board

Stage 2 - consensus review and evaluation for applications that score well in Stage 1

Stage 3 - site visits to applicants that score well in Stage 2

Judges' review and recommendations of Award recipients

Feedback to Applicants

Each Award applicant receives a feedback report at the conclusion of the review process. The feedback report is a written assessment by an evaluation team of leading U.S. experts.

The feedback report contains an applicant-specific listing of strengths and opportunities for improvement based on the Criteria. Used by companies, education organizations, and health care organizations as part of their strategic planning processes, the feedback report helps organizations focus on their customers and improve overall performance. Feedback is one of the most important parts of the Baldrige Award process; it provides a pathway for improvement.

Feedback reports are mailed at various times during the Award cycle, based on the stage of review an application reaches in the evaluation process. Strict confidentiality is observed at all times and in every aspect of application review and feedback.

Award Recipients

Award recipients may publicize and advertise their Awards. Recipients are expected to share information about their successful performance strategies with other U.S. organizations.

If your organization is applying in the business or health care category, refer to the appropriate sector-specific Criteria booklet and the *Baldrige Award Application Forms* booklet. Ordering information is on pages 67–68.

Important Facts about Applying for the Award

- Criteria contained in this booklet should be used only for the education eligibility category. Applicants in the business (manufacturing, service, and small business) and health care categories should use the *Criteria for Performance Excellence* and the *Health Care Criteria for Performance Excellence*, respectively.
- The following is a summary of the eligibility rules for the education category. Summaries of the eligibility rules for the business and health care categories are in their respective Criteria booklets. For-profit education or health care organizations may apply under the education or health care categories, using their respective Criteria, or under the service or small business categories, as appropriate, using the Business Criteria. If there is a question on eligibility, check the complete eligibility rules in the *Baldrige Award Application Forms* booklet or call the Baldrige National Quality Program Office at (301) 975-2036.
- Whatever your Award eligibility category, you will need to obtain a copy of the *Baldrige Award Application Forms* booklet before proceeding. Ordering instructions are given on page 67, or you can download the booklet from our Web site at www.quality.nist.gov.

Basic Eligibility

Public Law 100-107 includes provisions to expand or modify the list of Award categories. Beginning with the 1999 Award cycle, two new eligibility categories—education and health care—were added. Participation is open to for-profit and not-for-profit public and private organizations, government organizations, and some subunits—including U.S. subunits of foreign organizations—that provide educational services in the United States and its territories.

Eligibility is intended to be as open as possible. For example, eligible education organizations include elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools. However, departments within schools or colleges are ineligible.

Eligibility of Subunits

A subunit is a unit or division of a larger (parent) organization. Subunits of organizations might be eligible. To be eligible, the subunit must be self-sufficient enough to be examined in all seven Criteria Categories, and it must be a discrete entity that is readily distinguishable from other parts of the parent organization. It cannot be primarily a support function (e.g., student advising units, counseling units, food services, health services, housing, libraries, safety divisions, finance and accounting, human resources, public relations, and purchasing).

Other Restrictions on Eligibility

Location: Although an applicant may have facilities outside the United States or its territories, or it may receive support from its parent, in the event of a site visit, the applicant must ensure that the appropriate people and information are available for examination in the United States. This information is needed to document the operational practices associated with all of its major functions. In the event that the applicant receives the Award, it must be able to share information on the seven Criteria Categories at the Quest for Excellence Conference and at its U.S. facilities. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.

Multiple-Application Restrictions: A subunit and its parent may not both apply for Awards in the same year. In some cases, more than one subunit of a parent may apply. If the size of the *parent*, including all of its subunits, is

- 0–1000 employees, 1 applicant per parent per eligibility category may apply
- 1001–20,000 employees, 2 applicants per parent per eligibility category may apply
- over 20,000 employees, 2 applicants per parent per eligibility category for the first 20,000, plus 1 per 20,000 or fraction thereof above 20,000 per eligibility category, may apply

Future Eligibility Restrictions: If an organization or a subunit that has more than 50 percent of the total employees of the parent receives an Award, the organization and all its subunits are ineligible to apply for another Award for a period of five years. If a subunit receives an Award, that subunit and all its subunits are ineligible to apply for another Award for a period of five years. After five years, Award recipients are eligible to reapply for the Award or to reapply "for feedback only."

Eligibility Forms

Potential applicants must certify their eligibility prior to applying for the Award. Potential applicants for the 2003 Award are encouraged to submit their Eligibility Certification Packages as soon as possible but no later than April 15, 2003. In order to reserve a place on the Board of Examiners for a member of your organization's senior staff, the package must be submitted no later than March 14, 2003. The forms and necessary information are contained in the *Baldrige Award Application Forms* booklet.

How to Obtain Copies of Baldrige Program Materials

Note: If you are planning to apply for the Award, you will need the *Baldrige Award Application Forms* booklet in addition to the Criteria booklet.

Individual Orders

Individual copies of the Criteria booklets and the *Baldrige Award Application Forms* booklet may be downloaded from our Web site or obtained free of charge from

Baldrige National Quality Program
National Institute of Standards and Technology
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020
Telephone: (301) 975-2036
Fax: (301) 948-3716
E-mail: nqp@nist.gov
Web site: www.quality.nist.gov

Bulk Orders

Multiple copies of the *2003 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for $29.95 plus shipping and handling from the American Society for Quality (ASQ).

2003 Business Criteria—Item Number T1114
2003 Education Criteria—Item Number T1115
2003 Health Care Criteria—Item Number T1116

How to Order

ASQ offers four convenient ways to order:

- For fastest service, call toll free (800) 248-1946 in the United States and Canada (in Mexico, dial toll free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) ASQ member number ready.
- Or fax your completed order form to ASQ at (414) 272-1734.
- Or mail your order to ASQ Customer Service Department, P.O. Box 3066, Milwaukee, WI 53201-3066.
- Or order on-line by accessing ASQ's Web site at www.asq.org.

Payment

Your payment options include check, money order, U.S. purchase order, VISA, MasterCard, or American Express. Payment must be made in U.S. currency; checks and money orders must be drawn on a U.S. financial institution. All international orders must be prepaid. Please make checks payable to ASQ.

Shipping Fees

The following shipping and processing schedule applies to all orders within the United States and Canada.

Order Amount	U.S. Charges	Canadian Charges
0–$34.99	$ 4.25	$ 9.25
$35.00–$99.99	6.50	11.50
Over $100.00	12.50*	17.50*

- There is a shipping and processing charge of 25 percent of the total order amount for shipments outside the United States and Canada.
- Orders shipped within the continental United States and Canada where UPS service is available will be shipped UPS.
- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.
- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.

**If actual shipping charges exceed $12.50 ($17.50 Canadian), ASQ will invoice the customer for the additional expense.*

Baldrige Educational Materials

Each year, the Baldrige National Quality Program develops materials for training members of the Board of Examiners and for sharing information on the successful performance excellence strategies of the Award recipients. The following items are a sample of the educational materials that may be ordered from ASQ.

Case Studies

The case studies are used to prepare Examiners for the interpretation of the Criteria and the Scoring System. The case studies, when used with the Criteria, illustrate the Award application and review process. The case study packet contains the case study and six additional documents: an executive summary, the related *Criteria for Performance Excellence* booklet, the case study scorebook, the case study feedback report, the *Handbook for the Board of Examiners*, and the *Scorebook for Business, Education, and Health Care*. These documents provide information related to scoring, Criteria responses, examination processes, and site visit procedures, as well as illustrate the format for an application. A variety of case study packets are available, including the following:

2002 Health Care Case Study Packet: CapStar Health System (based on the *2002 Health Care Criteria for Performance Excellence*)

Available only in e-format (PDF version) at www.quality.nist.gov/CapStar.htm

2001 Business Case Study Packet: TriView National Bank (based on the *2001 Criteria for Performance Excellence*)

Item Number T1091: $49.95 plus shipping and handling

Also available in e-format (PDF version) at www.quality.nist.gov/TriView.htm

2000 Education Case Study Packet: Coyote Community College (based on the *2000 Education Criteria for Performance Excellence*)

Item Number T1090: $49.95 plus shipping and handling

Also available in e-format (PDF version) at www.quality.nist.gov/Coyote.htm

1999 Business Case Study Packet: Collin Technologies (based on the *1999 Criteria for Performance Excellence*)

Item Number T1079: $49.95 plus shipping and handling

Award Recipients Videos

The Award recipients videos are a valuable resource for gaining a better understanding of performance excellence and quality achievement. The videos provide background information on the Baldrige National Quality Program, highlights from the annual Award ceremony, and interviews with representatives from the Award recipients' organizations. Information on the 2002 Award recipients video is provided below. Videos about Award recipients from other years also are available from ASQ.

2002—Item Number TA999 $20.00
(Available May 2003)

How to Order Educational Materials

To order a Case Study Packet (TriView National Bank, Coyote Community College, Collin Technologies, or others), bulk orders of the 2003 Criteria booklet, or the Award recipients videos, contact

ASQ Customer Service Department
P.O. Box 3066
Milwaukee, WI 53201-3066
Telephone: (800) 248-1946
Fax: (414) 272-1734
E-mail: asq@asq.org
Web address: www.asq.org

Fees for the 2003 Award Cycle

Eligibility Certification Fees

The eligibility certification fee is $150 for all potential applicants. This fee is nonrefundable.

Application Fees

- for-profit education organizations with more than 500 employees—$5000
- for-profit education organizations with 500 or fewer employees—$2000
- all not-for-profit education organizations—$500
- supplemental sections—$250–$2000

Detailed information on fees is given in the *Baldrige Award Application Forms* booklet.

Site Visit Review Fees

If an applicant is selected for a site visit review, fees will be set when the visits are scheduled. These fees are paid only by those applicants reaching the site visit stage. Fees depend on the number of Examiners assigned and the duration of the visit. Site visit review fees for education organizations with 500 or fewer employees are one-half the rate for education organizations with more than 500 employees.

Eligibility Certification Packages due—April 15, 2003

Eligibility Certification Packages requesting placements for Board of Examiners Candidates due—March 14, 2003

All Award Applications due—May 29, 2003

The Baldrige National Quality Program welcomes your comments on the Criteria or any of the Baldrige Award processes. Please address your comments to

2003 Education Criteria for Performance Excellence
Baldrige National Quality Program
National Institute of Standards and Technology
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

or E-mail: nqp@nist.gov

or Web address: www.quality.nist.gov

The Malcolm Baldrige National Quality Improvement Act of 1987—Public Law 100-107

The Malcolm Baldrige National Quality Award was created by Public Law 100-107, signed into law on August 20, 1987. Public Law 100-107 led to the creation of a new public-private partnership. Principal support for the program comes from the Foundation for the Malcolm Baldrige National Quality Award, established in 1988.

The Award is named for Malcolm Baldrige, who served as Secretary of Commerce from 1981 until his death in 1987. His managerial excellence contributed to long-term improvement in efficiency and effectiveness of government.

The Findings and Purposes Section of Public Law 100-107 states that

"1. the leadership of the United States in product and process quality has been challenged strongly (and sometimes successfully) by foreign competition, and our Nation's productivity growth has improved less than our competitors' over the last two decades.

2. American business and industry are beginning to understand that poor quality costs companies as much as 20 percent of sales revenues nationally and that improved quality of goods and services goes hand in hand with improved productivity, lower costs, and increased profitability.

3. strategic planning for quality and quality improvement programs, through a commitment to excellence in manufacturing and services, are becoming more and more essential to the well-being of our Nation's economy and our ability to compete effectively in the global marketplace.

4. improved management understanding of the factory floor, worker involvement in quality, and greater emphasis on statistical process control can lead to dramatic improvements in the cost and quality of manufactured products.

5. the concept of quality improvement is directly applicable to small companies as well as large, to service industries as well as manufacturing, and to the public sector as well as private enterprise.

6. in order to be successful, quality improvement programs must be management-led and customer-oriented, and this may require fundamental changes in the way companies and agencies do business.

7. several major industrial nations have successfully coupled rigorous private-sector quality audits with national awards giving special recognition to those enterprises the audits identify as the very best; and

8. a national quality award program of this kind in the United States would help improve quality and productivity by

   A. helping to stimulate American companies to improve quality and productivity for the pride of recognition while obtaining a competitive edge through increased profits;

   B. recognizing the achievements of those companies that improve the quality of their goods and services and providing an example to others;

   C. establishing guidelines and criteria that can be used by business, industrial, governmental, and other organizations in evaluating their own quality improvement efforts; and

   D. providing specific guidance for other American organizations that wish to learn how to manage for high quality by making available detailed information on how winning organizations were able to change their cultures and achieve eminence."

The Baldrige National Quality Program thanks the following 2001 Award recipients for the use of the photographs in this booklet: Chugach School District (Alaska), Pearl River School District (New York), and University of Wisconsin-Stout.

Baldrige National Quality Program

Baldrige National Quality Program
National Institute of Standards and Technology
Technology Administration
United States Department of Commerce
Administration Building, Room A600
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